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MANAGEMENT REVIEW
OF
NORTH CAROLINA PUBLIC EDUCATION

Prepared by: Fiscal Research Division

January, 1975

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INTRODUCTION

The Fiscal Research Division of the Legislative Services Commission of the North Carolina General Assembly was established in 1972 to:

(1) Analyze past receipts and expenditures and current budget requests, giving special attention to requests for appropriations to continue current programs,

(2) Evaluate compliance of State agencies with Legislative intent,

(3) Recommend changes in the structure and organization of State agencies leading to increased efficiency,

(4) Make other studies as directed by the Legislative Services Commission, by the Committee on Appropriations of either house, or by either house of the General Assembly,

(5) To make periodic reports on the activities of the Division and special reports to the appropriate Legislative body, including estimates of financial savings involved when feasible.

After its initial organization and staffing, the Division concentrated on the budget-making process, working with the Finance and Appropriations committees during the 1973 and 1974 Sessions. To accomplish its work, each staff member was assigned responsibility for budget analysis of one or more State departments, agencies, or institutions. At the conclusion of the

1974 Session, the Legislative Services Commission directed the Fiscal Research Division to concentrate on an in-depth management review of a major State agency. The State Department of Public Instruction (hereafter SDPI), the Controller's Office and the Local Educational Agencies (hereafter LEA) were chosen primarily because they account for the largest amount of State appropriations.

The objectives of the management review were twofold:

(1) To determine whether the SDPI, the Controller's Office, and LEA's are operated in compliance with Legislative intent; and

(2) To determine whether the organization and management processes of the SDPI, the Controller's Office, and LEA's promote the efficient and effective achievement of their objectives.

Both objectives are in accord with the general responsibilities of the Fiscal Research Division. This management review is not intended to address such educational questions as:

What are North Carolina children learning?

What should North Carolina children learn? or

How should North Carolina children be taught?

Four areas were identified for detailed study: organization and general management, curriculum, finance, and personnel. Each area was assigned to a group of two or three staff members for study. Specifically, Dwight Greene and Clint Abernethy examined the organization and general management of the Department, including the relationship with the State Board of

Education, (hereafter SBE). Hilda Highfill and Jim Johnson investigated the development, implementation and evaluation of curriculum. J. D. McLawhorn and Jim Newlin considered finance, including the methods of distributing State funds and their utilization by the LEA's. T. P. Brendle, Louise Young and Linda Powell studied management of Department personnel, teachers, and local non-professionals. J. D. McLawhorn coordinated the review effort and Malcolm Williams was assigned responsibility as coordinator for the final report.

Mercer Doty, Director of Fiscal Research, outlined the objectives of the study to the Legislative Services Commission on August 30, 1974, and to Dr. Dallas Herring, Dr. Craig Phillips, and Mr. A. C. Davis on September 4, 1974. A similar briefing for all Division directors in SDPI and the Controller's Office was held September 16, 1974, with directors of the five regional centers also in attendance.

There were three distinct phases of the review. Throughout, coordination was achieved by means of weekly staff meetings to review findings and outline future activities. The first phase consisted of a review of the pertinent public school laws, publications issued by SDPI, and previous reports such as the 1968 Governor's Study Commission Report, followed by the formulation of exploratory questions and interviews with agency personnel. The intent was for each group to obtain a workable knowledge of the agency's operation in its particular area.

The second phase consisted of visits to LEA's. Dr. Phillips sent a letter to the Superintendents of the LEA's to be visited asking for their cooperation. Each group selected and

visited those LEA's which it thought would provide particularly meaningful information in its areas of investigation. The LEA's visited are representative of North Carolina, including large and small, county and city, rural and urban, and located in the Coastal Plains, Piedmont, and Mountains.

Following the visits to the LEA's, the third phase involved additional discussions with agency personnel to clarify findings and conclude the study.

During the management review, additional data were requested from SDPI. Sometimes, machine processing of the data was performed by the Management Information Systems Division of the Controller's Office.

This report is based in part on interviews with 45 different people in the SDPI and the Controller's Office, visits to 45 LEA's, and interviews with 43 superintendents, 99 other central office personnel, 58 principals, and 138 teachers. In addition, 20 other resource people were contacted. We are indebted to all of these educators and administrators for their cooperation, their time, their candor, and their insights. It is unfortunate that, to maintain the confidentiality of the conversations, we cannot acknowledge the contributions of each one individually.

The body of the report consists of three chapters. The first chapter is a brief overview giving the organization and functions of the Controller's Office and SDPI. Appendix F contains similar information for each division of the two organizations; it is reproduced from the September, 1974 SDPI publication, "Who Does What?". The other appendices describe

some of the major operations of the Department and the LEA's.

The second chapter presents a summary of the five major findings and associated recommendations. The third chapter discusses them. The findings are rather broad; each is followed by selected quotations from appropriate statutes. Specific recommendations follow: they are not intended to exhaust all possible answers to the problems posed in the findings. Rather, they represent our considered judgment of actions which would be both helpful and possible. Each recommendation is supported by specific comments and examples chosen for illustration. The intent is to provide enough detail to be meaningful but not so much as to confuse the major issue.

This management review was approached from the standpoint of a layman interested in education (such as a legislator) who spent three months reading, observing, interviewing key personnel and asking questions to discover how North Carolina public education is administered. Each member of the Fiscal Research Division staff welcomes the opportunity to discuss these findings and recommendations in more detail with those interested.

CHAPTER I

ORGANIZATION OF PUBLIC EDUCATION

Management of North Carolina elementary and secondary education is vested in the SBE, a State Superintendent of Public Instruction, and a Controller. (See Organizational Charts on pages 91-93.)

The SBE consists of one member from each of the eight educational districts (See Map, Page 94 .) and three at-large members, all appointed by the Governor and confirmed by the General Assembly. There are four classes with eight-year terms. In addition, the Lieutenant Governor and State Treasurer serve ex-officio. The general supervision and administration of the public school system is vested in the SBE.

The State Superintendent of Public Instruction is a constitutional officer elected by the people to a four-year term (Constitution, Article IX, Section 5). He is both chief executive of the SDPI and secretary of the SBE. As chief executive, he organizes the SDPI (now consisting of over 500 employees) and informs the public, the Governor, the press, and educators of educational matters (G.S. 115-14). As Secretary, he administers instructional policies established by the SBE, supplies information and recommendations to the SBE, and supplies information and instructions to local school administrators (G.S. 115-15).

The Controller is appointed by the SBE and is reponsible for all matters pertaining to budgeting, allocation, accounting, auditing, certification, and disbursing of public school funds

(G.S. 115-17). He is required to attend all SBE meetings and has a staff of approximately 230 to assist him.

The county is the basic local unit for school administration. Counties may have separately constituted city administrative units. A county or city administrative unit is administered by a local board of education which has those powers and duties related to the public schools not expressly conferred upon another official. The local board appoints a certified local superintendent (confirmed by the SBE) who is responsible for carrying out both SBE and local board policy. He is also responsible for communication of SBE policy to the local board.

Approximately two-thirds of the money spent by LEA's is appropriated by the General Assembly. The Controller's Office applies SBE policy in allocating these funds, generally according to a line item format specified in G.S. 115-79. The greatest State support provided LEA's is through appropriations made to the Public School Fund and "instructional services" is the largest item in this Fund. This item covers salaries of teachers, principals, and supervisors plus instructional supplies. A discussion of local personnel management is in Appendix A.

Within the Controller's Office, the Division of Teacher Allotment allocates the number of general and special education teachers to LEA's. In the SDPI, the Division of Certification determines whether prospective personnel are properly certified. The Division of Auditing and Accounting then sets the level of salary to be paid according to the certification, and monitors funds for personnel salaries once they are hired. Details of the

allocation process are found in Appendix B.

Funds for certain support functions such as: (a) plant operation, (b) textbook purchase, storage, and transmittal to the LEA's, and (c) transportation are allocated by various divisions of the Controller's Office. Formulas used for allocation depend on a variety of factors.

The top management group in SDPI and the Controller's Office is the executive staff, which consists of: the State Superintendent, the Special Assistants, the Assistant State Superintendents and their Deputies, the Controller and Assistant Controller of the SBE, and the Regional Center Directors. The executive staff meets twice monthly to review existing programs, discuss and review proposals for new programs, make plans for State Board of Education meetings, and advise the State Superintendent on decisions concerning all other matters affecting internal direction.

With the change in administration in 1969, SDPI began its efforts to shift decision making from the State to the local level. This shift was based on the belief that local educators better understand the problems and needs of their particular school system. As a result, SDPI is gradually changing its primary role from oversight to leadership. Consultants employed by SDPI help local educators by supplying them with information for better decision making and by assisting them in implementing programs resulting from the decisions. Consultants provide assistance to LEA's in (1) General administration such as planning, management, experimental programs, human relations, and staff development. (Appendix C gives a brief history of the

planning endeavors); (2) Program services including Divisions of Cultural Arts, Health, Physical Education and Safety, Languages, Reading, Mathematics, Occupational Education, Science and Social Studies. (Curriculum development in social studies and career education is described in Appendix D); (3) Services for certain specific groups of children, including exceptional children, kindergarten children and the disadvantaged; and (4) Various support areas, including physical facilities planning, evaluation, food service, media services, school personnel, pupil personnel (guidance), and athletics. SDPI has established the regional center as the means to more efficiently deliver these consulting services and to better tailor these services to local needs. Regional centers are planned in each of the eight educational districts; five have already been established. Regional centers can be an excellent means to improve communications and facilitate understanding between SDPI and LEA's and among LEA's. As they develop, they will become an even more important asset in the delivery of educational services throughout the State.

Specific details of the organization and functions of each of the divisions in SDPI and the Controller's Office can be found in Appendix F, which is taken from the September, 1974, SDPI publication, "Who Does What?".

CHAPTER II

OVERVIEW OF FINDINGS AND RECOMMENDATIONS

Although the findings fall generally within the four major areas of inquiry selected for the study, they are organized differently for presentation here. The method of presentation that follows is designed to focus on the internal operation of SDPI and the Controller's Office (Finding 3), and its relationship with other key elements of the educational system. These elements include supervision or the SBE (Finding 1), clients or the LEA's (Finding 2), peers in post-secondary education (Finding 4), and resource suppliers and regulators, mainly the General Assembly (Finding 5).

Although the recommendations are not exhaustive, they are intended to be sufficiently specific to encourage action. A number of studies of the public schools have been done in the past decade, and many of the recommendations in this report have counterparts in these earlier documents. We therefore suggest that the obligation to study the public schools has been abundantly met and that action is long overdue. Statutory changes, when required, may be proposed by the State Superintendent in accordance with his responsibilities under G.S. 115-14 to recommend "...such changes in the school law as shall occur to him." Others may require the initiative of the General Assembly or the SBE.

Of necessity, recommendations point to changes which need to be made. However, those changes should be considered in the context of our overall conclusions to the original

objectives, which are as follows:

We find little evidence of attempts by SDPI, the Controller's Office, or LEA's to deliberately thwart legislative intent. There are, of course, honest differences of opinion about the interpretation of legislative intent.

We find that the organization and management processes of SDPI could be much improved. The management system being implemented in SDPI is based on sound principles. The parts have not been integrated into a cohesive whole nor has the concept been adequately communicated to the LEA's.

The shift in decision making from SDPI to LEA's has not been adequately understood. Many of our recommendations are directed toward clarification of the relationship between the SDPI and LEA's, followed by communication to the LEA's. Leadership in that policy matter is the responsibility of the SBE.

Improvement within SDPI is needed in the following areas: (1) further development and implementation of the planning system, maintaining the emphasis on educational objectives, (2) eventual mandatory compliance by LEA's with the State accreditation standards, (3) improved personnel management system with greater emphasis on accountability, (4) the development of a comprehensive management information system, (5) a comprehensive statewide evaluation of student learning and finally (6) a comprehensive system of program evaluation followed by corrective action.

The organization of the Controller's Office as a separate, co-equal institution is completely unsatisfactory.

Both the 1968 Governor's Study Commission and the 1973 Governor's Efficiency Study Commission urged the merger of SDPI and the Controller's Office. We concur.

SUMMARY OF MAJOR FINDINGS AND RECOMMENDATIONS

Findings and recommendations are listed in this section. They are discussed in some detail in the section beginning on page 17.

FINDING 1. The present system of an appointed SBE setting policy for an elected State Superintendent and an appointed Controller to administer is not conducive to managerial effectiveness and accountability.

RECOMMENDATION 1.1. The SBE should adopt a workable definition of "Policy" under its authority and "Policy Administration" under the State Superintendent's or Controller's authority. Then, the SBE should adopt procedures governing its own work in initiating and deciding "policy" matters.

RECOMMENDATION 1.2. The State Superintendent should devise a system to insure that each SDPI consultant, local superintendent, local board of education member, principal and teacher has ready access to a current set of codified SBE policies.

RECOMMENDATION 1.3. The State Superintendent of Public Instruction should have authority to administer both instructional and financial policies established by the SBE. The Controller should become an assistant superintendent for finance to assist the State Superintendent in the supervision and management of fiscal affairs.

RECOMMENDATION 1.4. The Constitution of North Carolina should be

amended to change the present methods of selecting the SBE and the State Superintendent. The intent of such amendments should be (a) to either make the SBE responsible solely to the people or abolish it and (b) to make the State Superintendent responsible to the elected SBE, or to the Governor, if there is no SBE.

FINDING 2. Neither State nor local educational agencies have a clear understanding of the distinct roles and responsibilities of each.

RECOMMENDATION 2.1. The SBE and the State Superintendent should clearly label those policies which are mandatory for local boards and educators and those policies over which local boards and educators may exercise discretion.

RECOMMENDATION 2.2. Each school system in North Carolina should be required to meet the standards of State accreditation, as indicated in SBE Policy adopted October 5, 1972. Upon recommendation of the State Superintendent and adoption by the SBE, all the procedures and criteria currently used to implement that policy would be mandatory unless specifically exempted.

RECOMMENDATION 2.3. The SBE should define and approve "A Standard Course of Study" upon recommendation of the State Superintendent. The State Superintendent should recommend to the General Assembly any changes in those statutes pertinent to "A Standard Course of Study."

RECOMMENDATION 2.4. The function of the State Textbook Commission should be reexamined by the SBE. Major curriculum changes now occurring at both elementary and secondary levels raise serious questions about the present selection and distribution mechanisms for textbooks. If the State Textbook

Commission is to continue playing a major role in curriculum choice, its responsibilities should include instructional materials. If LEA's are to have a major role in curriculum choice, then the State Textbook Commission should change its function to screening out inadequate instructional materials.

RECOMMENDATION 2.5. The present system of appropriating and allocating State money to LEA's should be changed. A new system should:

(1) Increase local flexibility in use of funds

(2) Relate to needs of students as well as numbers of students

(3) Take into account local ability to pay and local tax effort.

RECOMMENDATION 2.6. At both State and local levels, financial data and record keeping should be restructured to provide responsible officials the information they need for both managerial program decisions and fiscal accountability.

RECOMMENDATION 2.7. LEA's, particularly the smaller ones, should address three major deficiencies in their performance of personnel management. These are (a) lack of codification of personnel policies, (b) inadequate policies and procedures governing non-certified personnel, and (c) perfunctory evaluation systems for certified personnel.

FINDING 3. The State Superintendent heads a competent staff. Their emphases on student learning, local planning, and regionalization of State services are sound. These can be effective vehicles enabling the General Assembly, State and local education agencies, parents and citizens to work together to improve the quality of public school education. Major weaknesses

within SDPI are in (a) communication and coordination, (b) program evaluation, and (c) elements of personnel management.

RECOMMENDATION 3.1. SDPI should establish effective procedures for (a) coordination of its efforts and (b) communication to and from the LEA's.

RECOMMENDATION 3.2. SDPI should establish a program evalution system including (a) the methods and instruments to assess or measure the effect of programs and activities, (b) a system to handle and store the resulting data, minimizing paper work, (c) methods of analysis which would transform assessment data into information useful to decision-makers, (d) standards of performance by which to judge assessment information, and (e) the development of a climate which would encourage decision-making based on evaluation.

RECOMMENDATION 3.3. The State Superintendent and the Controller should recommend to the SBE policies governing recruitment, selection, promotion and performance evaluation of their employees. These policies should be consistent with the State's affirmative action guidelines.

FINDING 4. Interaction among public schools, community colleges, and institutions of higher education is inadequate at both State and local levels.

RECOMMENDATION 4.1. The State Superintendent of Public Instruction, the State President of the Community College System and the President of the University of North Carolina should devise the means for effective continuing coordination in areas of joint responsibility.

FINDING 5. State legislation is sometimes unnecessarily

restrictive on State and local education agency operations.

RECOMMENDATION 5.1. Legislative intent should be clearly spelled out in future education legislation in terms of the educational results desired. The SBE, the State Superintendent of Public Instruction, and the LEA'S should be allowed maximum flexibility in efforts to implement that intent. There should also be a system of periodic public reporting whereby they give an accounting of the educational results achieved with the resources given to them.

CHAPTER III

FINDINGS AND RECOMMENDATIONS

DISCUSSION

CHAPTER III. DISCUSSION OF MAJOR FINDINGS AND RECOMMENDATIONS

FINDING 1. The present system of an appointed SBE setting policy for an elected State Superintendent and an appointed Controller to administer is not conducive to managerial effectiveness and accountability.

PERTINENT STATUTES: G.S. 115-2, 115-11, 115-12, 115-14, 115-15, 115-16 and 115-17. The general supervision and administration of the free public school system shall be vested in the State Board of Education (G.S. 115-2). The Superintendent of Public Instruction shall be the Secretary and Chief Administrative Officer of the State Board of Education (Constitution, Article IX, Section 4(2)). As Secretary under the Board, it shall be the duty of the State Superintendent of Public Instruction to administer, through the Department of Public Instruction, the instructional policies established by the Board (G.S. 115-15). The Controller is constituted the Executive Administrator of the Board in the supervision and management of the fiscal affairs of the Board (G.S. 115-16).

RECOMMENDATION 1.1. The SBE should adopt a workable definition of "Policy" under its authority and "Policy Administration" under the State Superintendent's or Controller's authority. Then, the SBE should adopt procedures governing its own work in initiating and deciding "policy" matters.

DISCUSSION. According to SDPI analysis of G.S. 115-11, "Policy development, particularly with regard to fiscal matters, is the major business of the State Board of Education" (Program Plans for the 1975-77 Policy Cycle). Indeed, the SBE exercises

"policy" authority over even the most trivial fiscal matters. One example will suffice. On September 5, 1974, the SBE approved the following addendum to the Public School Facilities Fund of 1973: "Charlotte-Mecklenburg: Tryon Hills--Decreased State funds by $0.01 for a revised allocation of $105,864.99."

However, the SBE has not exercised its "policy" authority on major non-fiscal matters. For example, the executive staff adopted a mission statement on April 12, 1971, and adopted the supporting continuing objectives on May 3, 1971; both amended on October 29, 1973 (see Appendix E). They have not been adopted, modified or rejected by the SBE. They have been received as information only.

To further the accomplishment of this mission statement and these continuing objectives, the SDPI Program Plans for 1975-77 present proposals which would cost the State approximately $1 billion. These plans again were received by the SBE only as information.

However, according to procedures adopted by SBE for State accreditation of local school systems, a local board of education must formally approve a local unit's mission statement, continuing objectives and program plans. This same procedure should apply at the State level.

In our opinion, the SBE spends too much of its valuable time on financial details which ought to be delegated. Consequently, there is too little time to spend on major educational questions. We believe it would be helpful if the SBE classified matters it regarded as policy for its consideration and other matters which could be administered by either the State

Superintendent or the Controller.

RECOMMENDATION 1.2. The State Superintendent should devise a system to insure that each SDPI consultant, local superintendent, local board of education member, principal, and teacher has ready access to a current set of codified State Board policies.

DISCUSSION. SBE policies are not conveniently available for use; no manual exists. The permanent Minutes Book of the SBE is kept in the Secretary's Office, but access is limited by their chronological arrangement, their volume, and general availability through one person. (This is not to reflect upon the individual, who is most helpful in responding to requests for information.) Codification of SBE policies is currently under way.

Instructional policies of the Board are not providing continual guidance to SDPI consultants. The various divisions of the Program Services area may or may not maintain a file of Board policies applicable to their operation. The largest division, Occupational Education, did not maintain such a file of policies applicable to its program operations.

Superintendents did not maintain a file of SBE policies, clearly labeled and available for guidance. SDPI and the Controller's Office both distribute many items of information to the LEA's. Those which constitute SBE policy should be differentiated so they can be kept on file, at least in the Superintendent's Office.

Furthermore, there should be a system to monitor LEA compliance with SBE policy.

RECOMMENDATION 1.3. The State Superintendent of Public Instruction should have authority to administer both

instructional and financial policies established by the SBE. The Controller should become an assistant superintendent for finance to assist the State Superintendent in the supervision and management of fiscal affairs.

DISCUSSION. Implementation of instructional policy frequently involves expenditure of funds. Effective implementation requires fiscal activities to support instructional policy. We have found numerous instances of ineffective implementation because of the present divided responsibilities. An example follows.

In the closing hours of the 1974 Session, the General Assembly authorized the SBE to defray the reasonable cost of transporting autistic and communications handicapped children, as well as deaf and blind children to the nearest proper public educational institution in the State. No funds were appropriated for the transportation of the children. Essentially this legislation meant that, if the SBE could find the necessary funding, it was legally able to transport the children.

At the August 8, 1974, meeting of the SBE, transportation for these children was discussed and the Controller was instructed to determine the possible availability of funds for this purpose. At the September 5, 1974, meeting of the SBE, the Board adopted a statement of intent to the effect that it would provide funding to transport the children as soon as it was clear that the funds would be available. It was the view of the Controller that the availability of funds was uncertain since it was quite early in the fiscal year and subsequent availability of funds for this purpose was dependent on the extent to which there would be excess funding in other

sections of the Department.

The Superintendent of Public Instruction was of the opinion at the time that there was a significant and pressing need to provide for the transportation of the autistic and communications handicapped and blind and deaf children and that provisions ought to be made immediately to fund the transportation of the children to school.

At the December 5, 1974, meeting of the SBE, the Finance Committee approved a request to the Department of Administration to transfer money from the teachers' salaries code of the Public School Fund to a reserve in the transportation code of the Public School Fund to be used if sufficient funds for the provision of the needed transportation did not develop in the transportation code. The provisions will be implemented around the first of 1975 and reimbursement for transportation will be retroactive to July 1, 1974.

The State Superintendent has program responsibility for assuring that the children of the State have an equal opportunity to receive an education and the provision of transportation of these children is a significant aspect of the provisions of equal opportunity. The current division of financial and programmatic responsibilities essentially places the Controller in the position of being able to effectively delay the implementation of a transportation project until the availability of funds was verified. While the Controller was exercising prudent judgment in line with his financial responsibilities, the exercise of his authority was the key factor in slowing implementation.

The fact that it took roughly eight months from the time

the legislation was passed until the SBE solved the problem seems to further underscore the inefficiency of the present system. This is not to say that the Department should be operated in a fiscally irresponsible manner. However, it does appear that if the financial and program authority and responsibilities were consolidated under a single individual, the problem could have been resolved in a far more timely manner.

RECOMMENDATION 1.4. The Constitution of North Carolina should be amended to change the present methods of selecting the SBE and the State Superintendent. The intent of such amendments should be (a) either to make the SBE responsible to the people or abolish it, and (b) to make the State Superintendent responsible solely to the elected SBE, or the Governor if there is no SBE.

DISCUSSION. At present, the State Superintendent is held accountable to the voters through the election process once every four years. After appointment and confirmation, a member of the State Board is not held accountable to anyone for eight years. According to G.S. 115-2, the State Board of Education has the major role in educational governance with the State Superintendent being its agent. Thus, it would be reasonable for members of the State Board to be elected and then appoint the State Superintendent, as is the case now for local boards of education and local superintendents. Alternatively, the State Board could be abolished and educational administration would lodge solely in an appointed State Superintendent, as is the case now for other major State agencies. An unpaid lay SBE now spends two days a month in setting and administering policy for an agency with a $1 billion budget. It may be quite unreasonable to

expect that much from any group of private individuals.

FINDING 2. Neither State nor local education agencies have a clear understanding of the distinct roles and responsibilities of each.

PERTINENT STATUTES: All powers and duties conferred and imposed by law respecting public schools, which are not expressly conferred and imposed upon some other official, are conferred and imposed upon county and city boards of education. Said boards of educations shall have general control and supervision of all matters pertaining to the public schools in their respective administrative units and they shall enforce the school law in their respective units (G.S. 115-35).

All acts of county and city boards of education, not in conflict with State law, shall be binding on the superintendent and it shall be his duty to carry out all rules and regulations of the boards (G.S. 115-41).

It shall be the duty of the Superintendent to keep himself thoroughly informed as to all policies promulgated and rules adopted by the State Superintendent of Public Instruction and the SBE, for the organization and government of the public schools. The superintendent shall notify and inform his board of education, the school committees, supervisors, principals, teachers, janitors, bus drivers, and all other persons connected with the public schools of such policies and rules. In the performance of these duties, the superintendent shall confer, work, and plan with all school personnel to achieve the best methods of instruction, school organization and school government

(G.S. 115-57).

RECOMMENDATION 2.1. The SBE and the State Superintendent should clearly label those policies which are mandatory for local boards and educators and those policies over which local boards and educators may exercise discretion.

DISCUSSION. According to both statutes and practices, public school education in North Carolina is a State responsibility. Supervision and administration is vested in the SBE which sets policies allowing local boards of education either much or little flexibility in their operations. According to SDPI, the 1969 change in administration wrought major changes in the development of educational policy that was focused on service to local school districts, rather than regulatory functions solely. We find that change is both recognized and appreciated by many local educators. It is also quite understandable that one result of the change would be some confusion and misunderstanding about State and local roles.

Legislative intent is not to have 149 completely autonomous school systems (e.g. G.S. 115-198.1); nor do we find any indication that the SBE and the State Superintendent espouse such views. To prevent misunderstanding, we make the above general recommendation.

The following recommendations will examine specific suggestions for State and local role clarification in the areas of accreditation, curriculum, finance and personnel.

RECOMMENDATION 2.2. Each school system in North Carolina should be required to meet the standards of State accreditation, as

indicated in SBE policy adopted October 5, 1972. Upon recommendation of the State Superintendent and adoption by the SBE, all the procedures and criteria currently used to implement that policy would be mandatory unless specifically exempted.

DISCUSSION. If the SBE and the State Superintendent were to act as regulators of LEA's, it would be reasonable for them to periodically visit LEA's to insure that the regulations are being followed. Moving to a leadership role with more decision making at the local level does not automatically improve children's education. According to the State Superintendent, accreditation denotes a school that is purposefully, systematically and continously striving to serve maximally the collective and individual needs of its students. (Approximately fifty school systems are now applying for State accreditation.) If the SBE attests that a local school system meets that standard, then the shift of SDPI from regulation to assistance will have led to improvement in children's education. State accreditation then becomes the vehicle to demonstrate both SDPI and LEA accountability to the General Assembly and the people of North Carolina. This recommendation does not imply endorsement of the procedures and criteria currently being used in State accreditation. It is anticipated they will be revised frequently to become more effective. Specifically, if this recommendation is adopted, both the State Superintendent and the SBE should make those changes which experience dictates. Neither does this recommendation imply any position on the proper degree of State regulation and local freedom. Rather, whatever decision is made by the SBE concerning the matter, it should be clearly

transmitted to the LEA's.

RECOMMENDATION 2.3. The SBE should define and approve "A Standard Course of Study" upon recommendation of the State Superintendent. The State Superintendent should recommend to the General Assembly any changes in those statutes pertinent to "A Standard Course of Study."

PERTINENT STATUTES: General Statutes require the SBE and/or the State Superintendent

a. to adopt a Standard Course of Study (G.S. 115-198),

b. to initiate a State Kindergarten program (G.S. 115-198.1),

c. to organize special courses of instruction for children with special needs, including such groups as the crippled, emotionally disturbed, educable mentally retarded, gifted and talented, homebound and hospitalized, hearing impaired, learning disabled, multiple-handicapped, speech impaired (G.S. 115-200),

d. to organize and administer under the general supervision of the State Superintendent a program of driver training and safety education in the public schools...which courses shall be non-credit (G.S. 115-201),

e. to organize and administer a program of music education (G.S. 115-203),

f. to organize and administer physical and health education courses...including scientific instruction in the subjects of harmful or illegal drugs including alcohol (G.S. 115-204),

g. to provide suitable material for the appropriate observance of all special days which are celebrated from year to year. The special days appropriate for observance in N. C. are:

North Carolina Day on October the twelfth,

Temperance or Law and Order Day on the fourth Friday in January,
Arbor Day on the Friday following the fifteenth day of March, and
Birthdays of George Washington, Robert Edward Lee and Thomas Jonathan (Stonewall) Jackson; Veteran's Day; Memorial Day and such other days as may be deemed of educational and patriotic value to the children of the State (G.S.||5-205),

h. to cooperate with the Congress in its funding of vocational and technical education programs; to formulate vocational programs including the preparation of teachers in such subjects; to aid in the establishment by local committees of schools, departments or classes giving instruction in such subjects; and to prescribe qualifications for teachers, directors and supervisors, or to maintain such classes under its own direction and control; to establish and determine by general regulations the qualifications to be possessed by persons engaged in the training of vocational teachers (G.S. ||5-230);

and to develop prevocational and industrially oriented practical arts programs for the middle grades...and further...a program of instruction interwoven into the curriculum, providing a thorough introduction to the world of work, may also be developed for the lower grades" (G.S. ||5-235.|).

In addition, the statutes place joint responsibility as follows:

i. Both the SBE and local boards are required to provide training and instruction in the operation of motor vehicles as part of the program of the public and non-public schools.(G.S. ||5-202).

j. Permissive legislation provides that a program of adult education may be established as a part of the public schools cooperatively by State and local boards of education (G.S. ||5-|99).

General statutes direct local boards of education:

"to provide for the efficient teaching in each grade of all subjects included in the outline course of study prepared by the State Superintendent, which course of study shall include instruction in Americanism, government of the State of North Carolina, government of the United States, fire prevention, harmful or illegal drugs including alcohol at the appropriate grade levels."(G.S. 115-37)

DISCUSSION. The Handbook for Elementary and Secondary Schools (1953) and the Program of Studies (Experimental Edition, 1964-65) for many years defined the "Standard Course of Study."

It contained standards for State accreditation, SBE policies, Department of Public Instruction suggestions and recommendations, and excerpts of school laws. The relationship of a recent pertinent curriculum publication (SDPI Publication 455 entitled "Curriculum: Perspectives, Relationships, and Trends") to these older documents is unclear. Sentences in the publication support two different concepts:

(1) The new publication replaces the old Handbook:

"The changes in accreditation, in curriculum development practices and in the nature of instructional leadership are such as to make it impractical to continue the use of a single all-inclusive guide and reference." (i.e. the old Handbook)

"The SBE and the State Superintendent of Public Instruction present in this publication a blueprint of the State Program of Studies."

(2) The new publication is the framework within which a more appropriate up-date of the old Handbook will be developed.

"It (this publication) is basically a conceptual framework for curriculum development and improvement and should

be helpful by way of setting directions for curriculum planning at all levels."

"It is important to bear in mind that a conceptual framework is only a first step."

"The overall frame of reference set forth in this publication will give impetus to current activities and facilitate more rapid progress in program developments and improvements."

The foregoing language is confusing, according to State Department consultants, local supervisors, principals, and teachers. The result is that the current publication is not having the author's desired impact upon curriculum. There are other ways in which SDPI affects curriculum, which we define as the organized instructional programs and courses of study conducted under the authority of the schools.

At the State level, implementation of the curriculum occurs in at least three ways. In order of their importance, they are:

(1) preparation of criteria for textbook adoption and the ensuing use of the adopted textbooks at the local level,

(2) development of curriculum framework, materials, guides and other supplementary materials and their dissemination to and use by local school systems,

(3) visits by State consultants to local school personnel to work cooperatively on curriculum.

The textbook adoption process is discussed in Recommendation 2.4. Here we examine the latter two methods in

more detail.

Toward the beginning of our study, we were given two large loose-leaf notebooks filled with the latest curriculum materials of SDPI. No similar compilation was found in any LEA. We were told the individual items were distributed to specialists in the different curriculum areas in the LEA's. However, there was no indication of the relationship of these materials to "A Standard Course of Study." We find some schools using them where others do not. Therefore, we may reasonably conclude that SDPI has published materials which are neither "standard" nor a "course of study."

We find no definite schedule for consideration of curriculum guide revisions. A number of guides in occupational education and exceptional children are, for example, ten or more years old even though SDPI indicates every guide is obsolete after five years.

Curriculum materials do not exist in all areas. In the Trades and Industries part of Occupational Education, there are 2| programs offered in 8|8 schools enrolling 20,95| students in which SDPI has no developed curriculum. In these cases, curriculum is defined by the textbook and local initiative.

There were |8 occupational awareness programs at the K-6 level in FY |974 and |8 projected for |975. SDPI personnel have not developed a statement of purposes and objectives, a curriculum outline, a curriculum guide, nor have staff responsibilities been clear in the area. Admittedly, these are experimental programs. However, for such programs, it is even more important to do curriculum development before curriculum

implementation funds are allocated.

Division directors in Program Services schedule consultants' visits to local school systems largely on a first come, first serve basis. To some degree, they also consider their own assessment of local needs. Some, but not all, keep records of services provided to LEA's so they can identify school systems not receiving services over a long period of time.

As a result, we find from our visits to LEA's that some seldom call on SDPI for services and do not use SDPI materials sent them. Reasons vary. Large school systems feel capable of developing their own curriculum and do so. Some systems do not agree with the new SDPI curriculum and reject it. Others have personality clashes with SDPI personnel and so do not request services.

Overall, we conclude that Legislative intent is not being followed with respect to the establishment of "A Standard Course of Study." Part of the difficulty may be with the word "standard." Some may interpret the word as meaning a curriculum identical in all North Carolina schools and prescribed in detail by SDPI in Raleigh. We doubt that this interpretation ought to prevail. A "Standard Course of Study" can include a basic commonality of knowledge, skills and understandings and still allow for flexibility and choice on the part of local educators. They should clearly understand what it is, what is expected of them, and the degree to which local initiative is allowed. Therefore, the State Superintendent should recommend a definition of "A Standard Course of Study" to the SBE for its adoption. After adoption, that policy should be communicated to the LEA's

so they clearly understand it and their responsibility for its implementation. Afterward, any SDPI curriculum material should indicate its relationship to "A Standard Course of Study" and thereby the expected response of LEA's.

In this entire process, any changes in the statutes needed to implement the desired policy should be recommended to the General Assembly by the State Superintendent.

RECOMMENDATION 2.4. The function of the State Textbook Commission should be reexamined by the SBE. Major curriculum changes now occurring at both elementary and secondary levels raise serious questions about the present selection and distribution mechanisms for textbooks. If the State Textbook Commission is to continue playing a major role in curriculum choice, its responsibilities should include instructional materials. If LEA's are to have a major role in curriculum choice, then the State Textbook Commission should change its function to screening out inadequate instructional materials.

PERTINENT STATUTES: When the SBE has adopted, upon the recommendation of the State Superintendent of Public Instruction, a standard course of study at each instructional level in the elementary school and the secondary school, setting forth what subjects shall be taught at each level, it shall proceed to select and adopt textbooks. Textbooks adopted in accordance with the provisions of this Article shall be used in the public schools of the State. (G.S. 115-206.1)

The members of the (Textbook) Commission who are teachers or principals in the elementary grades shall evaulate all textbooks offered for adoption in the elementary grades. The

members who are teachers or principals in the high school shall evaluate all books offered for adoption in the high school grades. (G.S. 115-206.4)

DISCUSSION. The State of North Carolina allocates $8.00 per high school student for textbook purchase. Assuming the same figure is spent for purchase of elementary school textbooks, approximately $9 million is spent on textbooks each year. (Actual figures vary from year to year depending on the schedule for textbook adoption.) An equal amount is allocated by the State for purchase of consumable instructional supplies and non-consumable instructional materials and equipment. Federal and LEA funds add another $9 million at least. According to an SDPI survey, $2.8 million is raised and spent by individual schools on instructional supplies and materials. The total spent is approximately $30 million. Thus, textbooks account for no more than 30% of the total funds spent for consumable and non-consumable instructional materials. We estimate that for each dollar spent by the State for textbooks, a matching dollar is spent from State, Federal, local and school funds for instructional materials which can directly supplement or supplant the textbook.

We find that the textbook remains the single most important influence in determining curriculum. The amount of money being spent on paperbacks, manuals, cassettes, films, workbooks, etc., allows for the violation of G.S. 115-206.14. "Supplementary books and other instructional materials shall neither displace nor be used to the exclusion of basic

textbooks." We found strong indications of such displacement and exclusion. Therefore, most instructional materials including textbooks, should be selected and financed together.

One of the major thrusts of SDPI has been to increase the responsibilities of the LEA's, particularly in the area of curriculum decisions. A Textbook Commission, making choices of textbooks to be used throughout the State, limits local responsibility. A more reasonable role might be for the Textbook Commission to reject those materials not suitable for North Carolina (hopefully, a small number) thereby allowing local educators a much wider choice of materials. Resolution of this question depends on the clarification of local responsibilities as discussed in previous recommendations on this finding.

RECOMMENDATION 2.5. The present system of appropriating and allocating State money to LEA's should be changed. A new system should:

(1) Increase local flexibility in the use of funds,

(2) Relate to needs of students as well as numbers of students, and

(3) Take into account local ability to pay and local tax effort.

PERTINENT STATUTES: The appropriation of State funds, as provided by law, shall be used for meeting the cost of the operation of the public schools as determined by the SBE, for the following items or for any other item for which State appropriations are authorized:

(1) General control, items a through g

(2) Instructional service, items a through d

(3) Operation of plant, items a through e

(4) Fixed charges, items a through c

(5) Auxiliary agencies, items a through d (G.S. 115-79)

(Auxiliary agencies are now divided into two major groups (a) transportation of pupils and (b) other instructional services, including the categorical programs of kindergarten, physical education, support personnel, instructional personnel, and school psychologist - exceptional children.)

DISCUSSION. The current allocation system is a mixture of line item funding, categorical funding, and program funding. To illustrate, for the Public School Fund, Line Item 621 is called "Salaries-Elementary Teachers" without any indication of what subject is being taught. In addition, there is a categorical allotment to a local school system which can be expended for the salaries of elementary teachers in certain specific subject areas, such as reading. These funds are reported in Line Item 675-12. One result is greatly increased bookkeeping efforts. Another is the fragmentation of costs for any given program according to source of funds and reporting procedures.

Categorical funding on a statewide per capita basis by the General Assembly can create excessive costs. The fact that some LEA's are already spending adequately in a specific area sometimes is ignored. Neither is there any incentive for LEA's to aid in paying for the categorically-funded activities. Often the funds are too small to have much effect in the small units and may be unneeded in larger units with adequate local budgets.

This method of distribution creates even more problems

with the "non-supplant" clauses used in recent legislation. Units already providing adequate clerical assistance for principals, for example, are forced to continue spending those local funds as well as new State funds for this purpose, when sensible priority setting might dictate alternative uses. The result is unnecessary expenditure of State funds and inefficient use of the education dollar.

Categorical funding does force some LEA's to meet needs they otherwise might have ignored. However, in addressing problems that may exist in only a few units, categorical funding imposes specific burdens statewide on all LEA's. Line-item control and categorical funding have the effect of centralizing both program and operational decisions at the State level. Thus, while the SDPI is encouraging the LEA's to develop the capacity for sound educational decisions, the existing fiscal controls limit the ability of the LEA's to make and implement those decisions. This detailed fiscal control at the State level does not acknowledge LEA diversity in management ability, in needs for different programs to meet local needs, in local desires for specific curricula, and in local use of variety in teaching techniques. Essential fiscal control could be established at the local level through the promulgation of fiscal guidelines by the Controller and annual audits by the State Auditor.

For example, under instructional services a given number of teaching positions are allotted to each LEA (see Appendix B). This procedure inhibits local initiative in using options other than the conventional self-contained one teacher classroom. No State funds can be used to hire teaching aides. The class size

limitation funding formula discourages the use of techniques that may be more effective in some settings.

There is a difference between units with large local budgets and those with small local budgets. Well-funded local units spend more money on locally paid teachers and other instructional support personnel and supplies. Units with less money feel compelled to use nearly all local funds in filling essential needs the State does not fully support. Their funds go primarily for plant maintenance, plant operation, and general control. The significant factor is that State funding is dictating local priorities in budgeting local funds for some units, but not for others. The difference is often related to the unit's ability to pay.

We also find that there is a need to clarify the responsibilities of the county commissioners and boards of education at the local level. This will require action by the General Assembly and should include the requirement that the county commissioners be provided the total public school budget (all funds) so their decisions with respect to local funds can be made with full knowledge of the total resources estimated to be available.

Present formulas for allocating State funds tend to provide the same number of dollars for each student, regardless of educational need. Yet the needs of students vary and the number of dollars required to meet those needs varies. Allocating categorical teaching positions for exceptional children restricts an LEA from trying its own concepts of meeting the needs of these children. A funding formula which allocated

additional money per child for exceptional children would allow LEA's the flexibility to better meet the needs at possibly lower cost. We suggest examination of the Florida funding formulas which allocate funds on the basis of children's needs.

The ability of a county to pay and its taxing effort should both be examined in any consideration of funding changes. The recommendations in the 1968 Governor's Study Commission Report could serve as a point of departure.

RECOMMENDATION 2.6. At both State and local levels, financial data and record keeping should be restructured to provide responsible officials the information they need for both managerial program decisions and fiscal accountability.

DISCUSSION. The present record keeping based on the separation of accounts by various sources of funds when combined with line item and categorical fiscal control creates multiple bookkeeping, multiple auditing, multiple checkwriting and duplication of records. For example, local funds are audited by public accounting firms, State funds are pre-audited and post-audited by the Controller's Office and are spot-audited by the State Auditor's Office. At no point are all expended funds presented in one audit report. Copies of most checks and invoices involving State funds must be sent to Raleigh, thereby increasing costs and creating an enormous flow of paper. In most cases, State and local money cannot be handled in the same account.

An example of the cumbersomeness is the method of payment for substitute teachers. Records must be kept for each individual teacher, extending to the requirement that one substitute teacher must receive a separate check for each

different teacher replaced during the month. If a substitute should have twenty different daily assignments in one month, twenty different checks would have to be issued.

The separation of fiscal and program responsibilities may result from fiscal control people being generally distrustful of educators in the handling of funds, sometimes for good reason. The result is that some control procedures have been developed independently of the educational purposes to be served. If an educational administrator is to be educationally accountable, he must also shoulder the responsibility for fiscal accountability. The system of keeping financial records should aid in both aspects of accountability.

What is needed is a financial system with program categories which enables an administrator to know the costs for certain desired student learning and to maintain effective cost control, thereby ensuring that better program and fiscal decisions could be made.

RECOMMENDATION 2.7. LEA's, particularly the smaller ones, should address three major deficiencies in their performance of personnel management. These are (a) lack of codification of personnel policies, (b) inadequate policies and procedures governing non-certified personnel, and (c) perfunctory evaluation systems for certified personnel.

PERTINENT STATUTES:--A professional employee is defined as a person holding a position for which the SBE has established certification requirements.

All contracts, except contracts with superintendents and assistant and associate superintendents, now or hereafter entered

into between a county or city board of education and a teacher, principal, or other professional employee shall continue from year to year unless terminated as hereinafter set forth.

There shall be maintained in the office of the superintendent a file of any complaints against, commendations of or written suggestions for corrections and improvements made to each teacher by the administration.

No career teacher shall be dismissed or demoted or employed on a part-time basis except for: (Specific causes a through m.) (G.S. 115-142)

DISCUSSION. Personnel management is better in larger school systems than in the smaller ones, particularly if the unit has a full-time personnel director. All units are implementing the requirements of the statutes; many have not gone beyond that. Personnel practices are based on State legal requirements, local board policies, local precedents, and day-to-day judgments. The personnel manual developed by SDPI is an excellent framework with alternative procedures indicated for some areas. It would be useful to a local superintendent as a starting point to develop a set of personnel policies, particularly in the classification area, for adoption by a local board.

Overall, a rather comprehensive program of personnel administration exists for certified personnel, while such a program for non-certified personnel is non-existent. The complete lack of such a program for non-certified employees is a serious shortcoming and does not therefore provide for a total

personnel administrative program.

To attract and maintain competent employees, a personnel program for non-certified employees should include procedures for the development of personnel policies, recruiting practices, interviewing and testing procedures, job classifications, a pay plan, payroll and insurance administration, and personnel records.

An important part of good personnel management is knowing the job requirements for employee positions and paying employees accordingly. Properly prepared job descriptions will assist the employee and supervisory personnel in determining and fulfilling work requirements of the organization. A formal compensation plan with established pay raises is necessary if all employees are to be treated equitably. Without a pay plan, non-certified employees are either left stymied or left at the mercy of their supervisor, with little opportunity for advancement. Certified personnel, on the other hand, are paid on a State salary schedule, which affords them regular salary increments. It also establishes the salary level as they may move into administrative positions. In addition, many of them receive salary supplements, "free" additional training, and educational scholarships and grants.

Generally, there were no set policies or standards for promotion of employees in the LEA's.

The majority of the school units agree that performance evaluation is a present day necessity. However, almost all agree that the present method of evaluating is not acceptable. It does not identify either outstanding teachers for reward or

incompetent teachers for separation.

There are several deficiencies in present evaluation procedures. First of all, a checklist of various qualities and traits is utilized by the principal in rating a teacher as to whether performance is commendable, satisfactory, needs improvement, or unsatisfactory. This judgment may be based on how well the principal knows and gets along with the teacher rather than observations of the teacher at work throughout the year. Secondly, a checklist alone is not a satisfactory instrument to be used for an evaluation. There should be some written comments or explanation for the appraiser's rating. This type of documentation not only helps the employee to improve, but also provides the necessary tool that school systems must have if they hope to rid themselves of incompetent teaching and administrative personnel. The attitude toward performance evaluations should be changed from one that views this as a means of dismissal to one that views this as a means for improvement and advancement. In addition, LEA's should be encouraged to develop evaluation systems that recognize the responsibility of the teacher in the educational progress of the child, with due allowance for the child's capabilities.

FINDING 3. The State Superintendent heads a competent staff. Their emphases on student learning, local planning, and regionalization of State services are sound. These can be effective vehicles enabling the General Assembly, State and local education agencies, parents and citizens to work together to improve the quality of public school education. Major weaknesses within SDPI are in (a) communication and coordination, (b)

program evaluation, and (c) elements of personnel management.

RECOMMENDATION 3.1. SDPI should establish effective procedures for (a) coordination of its efforts, and, (b) communication to and from the LEA's.

DISCUSSION. Lack of coordination among the SDPI divisions leads to staff misunderstanding, fragmentation or overlap of efforts, and confusion in the LEA's.

Reading is a basic skill which has first priority in SDPI budget requests. Current effort within SDPI is fragmented. The Division of Languages has responsibility for assisting local school units in developing and implementing English/Language Arts programs. The Division of Reading coordinates all State and federal efforts in reading. The Division of Kindergarten/Early Childhood Education assists local school units in developing and implementing education programs for children ages five through eight. (One of those educational programs is reading.) The Division of Compensatory Education assists local school units in implementing special educational activities for economically disadvantaged children. (Reading at the elementary level is its major focus.) The Division of Exceptional Children assists local school systems in developing comprehensive programs and services to all exceptional children.

If a large school system wants to use local funds to establish a reading program for physically handicapped, disadvantaged children in grade two, any one of the above five divisions could justify itself as the choice to supply the help

needed.

As another example, the Division of Planning seeks to help an LEA develop a management system for improved student learning. The Program Services Area seeks to help an LEA develop better programs to improve student learning. The Division of Research seeks to help an LEA develop the testing and evaluation programs to determine if student learning has improved. In the LEA's there is poor coordination among these three areas, among consultants from the three SDPI organizational units, and among the advice given by different consultants at different times. At the State level, there is little indication that the various divisions regularly share their plans, their activities and their findings in dealing with a given LEA.

Both the third and sixth grade State assessments used the Iowa Test of Basic Skills. Many local school systems use the same test for the same students. Others use a different achievement test to obtain similar information. This duplication of effort unnecessarily costs the taxpayers of North Carolina.

SDPI has inaugurated many new thrusts in a variety of areas. To have a chance of success, these new programs should be well-planned, coordinated, and implemented. We find the lack of planning and coordination at the State level frequently hindering the implementation at the local level.

RECOMMENDATION 3.2. SDPI should establish a program evaluation system including (a) the methods and instruments to assess or measure the effect of programs and activities, (b) a system to handle and store the resulting data, minimizing paper work, (c) methods of analysis which would transform assessment data into

information useful to decision-makers, (d) standards of performance by which to judge assessment information and (e) the development of a climate which would encourage decision-making based on evaluation.

DISCUSSION. Decision-making should be based on a systematic rational analysis of pertinent data. The decision to inaugurate a new program or activity should be based on a defined need, thorough study including a possible pilot or experimental program, a comparison with alternative methods, and an analysis of probable costs. If the decision is positive, there should be continuing efforts to determine whether the need is being met, whether the program or activity is being implemented as planned, and whether costs are within the budget. On-going programs and activities need a similar type of evaluation.

SDPI effectiveness is determined by the learning which occurs in the LEA's. Masses of data in a variety of reports come from the LEA's to the Management Information System. Yet this data does not seem to be used in decisions. Examples: (1) The budget for the 1975-77 biennium was prepared before all the 1973-74 financial data on expenditures had been received; (2) According to the Division of Planning, the principal plays a key role; yet the rate of turnover of principals was not determined; (3) There is an acknowledged surplus of teachers; yet there is no analysis of any upgrading of teacher certification ratings, decrease in number of teachers teaching out of field or decrease in number of teachers with temporary certificates; (4) There is concern about the variations in allocation of State money to

LEA's; yet no analysis of the origin of the variations has been made. In all of these examples, the data exist within MIS and analytical procedures are not that difficult.

Leadership in the Program Services Area sees better evaluation techniques and strategies as a major need. We agree. Evaluation should be an integral part of the planning process in each area. Many staff members currently perceive evaluation in terms of an activity carried on by others, e.g. (1) State assessment; (2) State accreditation (3) development of criteria for textbook adoption, and (4) specific evaluations carried out by the Division of Research. Consequently, there is a lack of evaluation of their own efforts. Estimates of the relative effectiveness of in-service training, workshops, seminars, demonstration programs, consultative activities, textbook criteria evaluation, etc., were missing.

As an example, consider Occupational Education. The State Plan for Occupational Education FY 1974 estimates that $1.6 million is needed for evaluation activities; SDPI could not provide details on expenditures or what the findings were. Although responsibility for program evaluations rested with the LEA's during 1970-74, there was no requirement that their findings be submitted to the SDPI.

Limited interviews with area directors of occupational education and LEA staff failed to yield substantive information regarding local evaluation reports, or their findings; instead, reference was made to accreditation reports as sources of information. This differs substantially from the duties of the area directors to assist with development and evaluation of area-

wide programs as outlined in the State Plan for Occupational Education, (Part I, p. 17).

No SDPI effort has been made to monitor or summarize the nature or extent of LEA evaluation activities, although the Plan states that the SBE "will make a detailed analysis each year of the extent to which the previous year's goals and objectives...were met."

The Division of Occupational Education's Evaluation Section estimates that "no more than 5 percent of the total LEA's have conducted follow-up studies of graduates during the two preceding fiscal years," although this activity has been recommended to administrators.

Lip service to the necessity for evaluation and chagrin over the difficulty of doing it are both unsatisfactory. The key question to be asked throughout SDPI is "What data exist pertinent to this up-coming decision?" Improvement could be made immediately by identifying data which already exist, performing simple analyses, and using the resulting information. Such a process almost forces the people involved to decide upon standards and/or criteria, thereby making explicit previously implicit values. Experience would also lead to improved communication channels for getting the pertinent information to the proper decision-maker.

After some experience has been obtained, new methods and instruments, new procedures for analysis, and better standards ought to result. So should better decisions.

RECOMMENDATION 3.3. The State Superintendent and the Controller should recommend to the SBE policies governing recruitment,

selection, promotion and performance evaluation of their employees. These policies should be consistent with the State's affirmative action guidelines.

DISCUSSION. With the exception of the State Superintendent, all employees on the State level are subject to the policies and regulations of the State Personnel Act. The Division of Personnel in the Controller's Office is the operating unit within the Department of Public Education that is vested with the responsibility for maintaining the personnel records of those employees subject to the State Personnel Act. This office has the duty to account for the use of personnel resources through the utilization of these records. The records identify the employees, tell where they are located and what they are doing, the rate of pay they are receiving, what positions they have previously held, etc. The records are maintained in such a manner that ready personnel information is available when the need arises.

During this review, we sought data on fundamental kinds of information which one would normally expect from a personnel office. Our inquiries were directed towards gathering those kinds of data generally associated with determining budget and manpower requirements.

To provide an accurate and complete listing of positions and relevant data for those employees subject to the State Personnel Act, the Controller's Office issues a periodic document which reflects a true accounting of both persons and positions by organization, position number, name, classification, grade, rank and salary. Further, this report reflects vacant positions and

newly authorized positions. This readily accessible document contains adequate information that enables the department to forecast manpower requirements on its budget requests. The specific guidelines and procedures that are followed for recruitment and selection are consistent with the State Personnel Act.

However, a missing link is the Division's failure to publish and disseminate announcements of job openings. Announcing vacant positions assures employees of comparable treatment by providing them an equal chance to compete for better jobs.

Presently, there is no system for placement through promotions that is consistent with established principles of merit or fitness. Each Division head in Public Education has his own promotional practices and except for policies and regulations defining "promotion" and describing the effects of promotion on the salary schedule, the agency's policies and regulations are not based on a general promotion plan.

There currently is no employee performance evaluation system in effect in SDPI or the Controller's Office. The department is aware of the need for such an evaluation program and has structured two pilot appraisal programs to be implemented in mid 1975. These programs will provide a base for formulating recruitment plans; identifying promotional potential; taking disciplinary, transfer and promotional actions; and development of training programs.

FINDING 4. Interaction among public schools, community colleges, and institutions of higher education is inadequate at both State

and local levels.

PERTINENT STATUTES: The Board of Governors shall plan and develop a coordinated system of higher education in North Carolina. To this end it shall govern the 16 constituent institutions, subject to the powers and responsibilities given in this Article to the boards of trustees of the institutions, and to this end it shall maintain close liaison with the State Board of Education, the Department of Community Colleges and the private colleges and universities of the State (G.S. 116-11(1)).

All teachers, supervisors and other professional personnel employed in the public schools of the State, or in schools receiving public funds, shall be required to hold certificates in accordance with the law, and no contract for employment shall be valid until the certificate is secured (G.S. 115-152).

The State standards and guidelines adopted by the State Board of Education in 1972 broadens the base of the responsibility for teacher education by providing for a more extensive relationship between and among colleges and universities, public schools, State Department of Public Instruction, State Board of Education and professional associations. (Standards & Guidelines for Approval of Institutions & Programs for Teacher Education, SDPI Publication No. 453)

RECOMMENDATION 4.1. The State Superintendent of Public Instruction, the State President of the Community College System, and the President of The University of North Carolina should devise the means for effective continuing coordination in areas

of joint responsibility.

DISCUSSION: There are at least three areas which require continuing coordination among SDPI, The Department of Community Colleges, and the University of North Carolina. These are (1) competencies of North Carolina high school graduates, (2) occupational education programs, and (3) teacher education.

The majority of North Carolina high school graduates intend to continue their education. At least 40% of these graduates will enroll at one of the campuses of UNC or in a community college. Their performance is one measure of the degree to which elementary and secondary schools are performing their mission. A system to feed back data on their deficiencies in performance to LEA's and SDPI ought to be helpful in charting educational program changes. Such a system should be designed to provide meaningful information at modest cost with adequate protection for the privacy of the individual students.

Occupational education courses in the high schools, the extended day program, and occupational education courses in the community colleges have possibilities for unnecessary duplication of effort. The SBE adopted an articulation policy in March, 1971, encouraging cooperation between the two systems. Articulation refers to the relationships between educational programs and institutions which allow the orderly transition of students from one to another. We find that SBE policy on articulation between community colleges and the public schools has not been carried out effectively.

There are many opportunities for coordination between

higher education and SDPI. One is to attempt to bring into balance the supply and demand for teachers. For example, there is potential demand for many more teachers of exceptional children; there are enough students who desire such training; yet, Departments of Education in The University of North Carolina do not now have the program capacity to meet the demand.

In-service training workshops are being offered for teacher certificate renewal throughout the various school units. The majority of teachers can now earn all of their renewal credits in their community during the school year, and utilize teacher work days to do so. Some question the value of this arrangement, arguing that new and refreshing ideas could be gained outside the teacher's immediate community and at a time that would minimize absence from academic responsibilities. In any case, there should be coordination between SDPI, LEA's and UNC in teacher certificate renewal.

SDPI now has a rather detailed set of standards and guidelines for approval of institutions and programs for teacher education. Yet, much of the strategy employed by SDPI in improving education focuses on the upgrading of teachers' skills. As an example, the top priority in SDPI's expansion budget request for 1975-77 concerns funds for the retraining of teachers, administrators, and specialists in reading. In the 1974-75 budget request, SDPI stated, "Seventy-five (75%) percent of all North Carolina elementary teachers have never taken a reading course." Money could probably be saved if such a reading course were included in the regular undergraduate program for elementary teachers. Evaluation of such options would require

close coordination between SDPI and UNC.

FINDING 5. State legislation is sometimes unnecessarily restrictive on State and local education agency operations.

RECOMMENDATION 5.1. Legislative intent should be clearly spelled out in future education legislation in terms of the educational results desired. The SBE, the State Superintendent of Public Instruction, and the LEA's should be allowed maximum flexibility in efforts to implement that intent. There should also be a system of periodic public reporting whereby they give an accounting of the education results achieved with the resources given to them.

DISCUSSION. SDPI and LEA ability to achieve objectives efficiently and effectively is sometimes thwarted by following legislative intent. For example:

(a) The coequal status of the State Superintendent and the Controller follows the mandate of the statutes; (b) The multiplicity of statutes listed under Recommendation 2.3 does not lead to coherent curricula; (c) Categorical funding with non-supplant clauses discourages efficiency and wastes money in certain cases; (d) The class size legislation (G.S. 115-59.1), limits the flexibility of some school systems to solve their educational problems.

All the findings and recommendations made previously lead to the following: Specify by legislative intent the objectives which SBE and LEA's should accomplish in the education of North Carolina children. Permit greater flexibility in the methods used to achieve those objectives. Hold them accountable both for educational results and the wise use of fiscal

resources.

APPENDIX

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APPENDIX A

PERSONNEL MANAGEMENT BY LOCAL EDUCATION AGENCIES

With payrolls comprising the largest single item in the operating budgets of most LEA's, sound personnel policy assumes great importance. Federal regulations such as those found in the Equal Opportunity Employment Act, the Minimum Wage and Hour Law and the Occupational Safety and Health Act now have far-reaching influence on the personnel administration of LEA's.

LEA's must be prepared to administer a comprehensive personnel administration program that effectively and efficiently serves to attract and maintain capable personnel. However, only 25 of the 149 LEA's have personnel directors. The superintendent administers personnel in 77 units and the assistant superintendent in the other 47 units.

Recognizing the need for a proper personnel management system in the LEA's, the SDPI established the Division of Personnel Relations on January 1, 1973. The purpose of the newly established Division was to help LEA's develop a proper personnel management system with an accompanying manual of written policies and procedures. Ultimately, this Division is striving to insure that all LEA's have sufficient personnel who can develop and implement sound personnel policies.

With these objectives in mind, the Division of Personnel Relations prepared a manual of policies and procedures to be used as guidelines by the LEA's. This manual presents a systematic, rational scheme of recruitment, selection and placement; it also suggests expanded responsibilities for the LEA personnel and

administrative staff in organization, utilization and motivation.

The Division of Personnel Relations, however, does not have authority to mandate these personnel manual policies and regulations. A concerted effort is being made to assist the LEA's in the installation of the written policies and procedures in the manual.

Specifically, in a LEA, the Director of Personnel has responsibility for recruitment, administration of employment procedures for certified and non-certified personnel, preparation of payroll information, separating personnel, processing of certification applications and maintenance of records relating to certification, employment contracts, retirement, social security, income taxes, group hospitalization insurance, workmen's compensation, and other personnel records and files as required by the public school laws of North Carolina.

The Personnel Office administers many programs for certified personnel, including systems and procedures for recruiting/screening, hiring/dismissal, job classifications, salary and wage determination, performance evaluation, renewal credits, grievance procedures and reporting. Following is a brief discussion of the procedures generally utilized by the LEA's in the performance of the more important of the personnel functions.

1. Recruiting/Screening

Presently, the volume of teacher applications is so great that most vacancies can be filled through this source. In some school units, recruitment is done on university campuses, through their student teaching program, or by personal contacts

with other school units. When vacancies occur in positions such as principals, assistant principals, superintendents, assistant superintendents or some other administrative level position, most school units advertise "in-house" to allow qualified teachers to move up in their system.

Regarding the recruiting and screening of non-certified personnel, the personnel director utilizes advertisements in local papers, State employment offices, and employee contacts. Interviewing applicants for non-certified positions is performed by the personnel director, and the maintenance supervisor, the custodial supervisor, or the cafeteria managers.

2. Hiring/Dismissal

The hiring process for certified personnel is quite complicated. Once an application has been completed and the interviews conducted, college placement files, NTE scores, certification, teaching experience, and references must be checked.

Once the initial screening and interviewing are completed along with the acquisition of records and checking of personal references, a recommendation for employment with the school system is made for approval by the local school board.

If an applicant accepts employment, the applicant is requested to complete a Contract for Professional Service. This contract is a probationary contract for one year and is the type of agreement utilized by the school system for the first three years of employment. This contract along with all other personnel records is then set up in files in accordance with G.

S. 115-142.

For non-certified employees, the procedure is less complicated. There is no contract involved and personnel records are almost non-existent.

As a rule, the dismissal of both certified and non-certified employees is the responsibility of the relevant supervisor, either a principal, department head, or immediate supervisor. A certified employee can appeal the dismissal according to the procedures of G.S. 115-142. In most cases no exit interview is conducted.

3. Job Classifications

Only a small percentage of the LEA's have a complete job classification system. Those that do exist deal primarily with non-certified personnel.

Some assistance in this area was given five or six years ago to a number of the local units by the State Personnel Department, but most units have failed to keep the job classifications current. SDPI provided no assistance until 1973. However, they do not have sufficient staff available to assist all the local units.

4. Salary and Wage Determination

Salaries paid to certified personnel, bus drivers, bus mechanics, and property and cost clerks in the public school system are determined by the State Salary Schedule. Salaries of non-certified personnel are determined by the individual school units.

Some of the LEA's have established salary grades and increment steps for clerical, maintenance, food service,

custodial and teacher aide personnel. These salary schedules have been patterned after the State Personnel Salary Schedules with some adjustment for salary scales paid in the surrounding community. Other LEA's have no salary schedules and merely pay according to minimum wage and going rates.

5. Performance Evaluation

Since passage of the Teacher Tenure Act, all school units have been required by law to evaluate the work of certified personnel at least annually. Some units, however, had been evaluating certified personnel for a number of years prior to this law.

The instrument used in evaluating performance varies from unit to unit, but generally the instrument is a checklist to be filled in by the principal concerning a teacher's appearance, ability, and attitude. Administrative personnel who are certified are evaluated by a similar checklist filled in by the superintendent. Even though the law requires one evaluation per year, some units evaluate as many as three times per year.

Evaluation of non-certified personnel is almost non-existent, except for observation by immediate supervisors. However, some of the units are involved to some degree in written evaluation of non-certified employees and others plan to develop such evaluations.

In all cases, the individual who was evaluated was required to sign the evaluation sheet, indicating that he had received a copy of the report.

6. Renewal Credits

The personnel office works very closely with the in-

service training director in scheduling workshops and seminars for teacher improvement and development. This office must maintain records of the credits earned through these workshops, educational travel, research work, or college courses by certified personnel for certificate renewal and verify this to the SBE.

The Personnel Director is also responsible for scheduling and handling any on-the-job training for non-certified personnel, such as teacher aide workshops, secretarial improvement seminars, and maintenance, custodial and food service workshops.

7. Grievance Procedure

The LEA Personnel Office administers a formal grievance procedure for certified personnel, as required by G.S. 115-142. This procedure is comprehensive in nature and is a part of the Personnel Policies Manual. This procedure, however, applies only to certified personnel.

8. Reporting

The LEA Personnel Office is responsible for reporting on the status of school system personnel to the Board of Education. A personnel report is prepared on a monthly basis summarizing resignations, maternity leaves, and other such general information. This office also is required to prepare and disseminate a personnel directory each year for their local unit.

Other informal reporting responsibilities include the preparation of vacation forms, health certificate forms, teacher evaluation forms, salary schedules, professional employee

contracts, and school calendars.

APPENDIX B

DIVISION OF TEACHER ALLOTMENT AND GENERAL CONTROL

Of all State funds expended by local school administrative units, a very high percentage goes to pay the salaries of personnel employed in State-allotted teaching positions. The General Statutes (G.S. 115-11(12); G.S. 115-16(2); and G.S. 115-59) require that an allotment of teachers be made. Of the three categories of teachers referred to in G.S. 115-59, only the allotment of general teachers and special education teachers is done by this Division, while the allotment of vocational teachers is done within the Division of Auditing and Accounting.

The allotment of general teachers under the formula adopted by the SBE makes use of average daily membership data plus certain adjustment factors. Average daily membership data originates at the classroom level through a register whereby an individual record is kept for each student showing certain background information and a profile of attendance maintained daily. At the end of each twenty teaching days, the teacher summarizes information kept in the register and prepares a monthly report which is sent to the principal. A principal's monthly report is then prepared summarizing by grade the data taken from all the teachers' monthly reports. All principals' monthly reports are sent to the superintendent, who in turn sends them to the Division of Management Information Services in the Controller's Office. Here information is keypunched, processed, and a report printed which is sent back to the Superintendent for verification. This report must be signed by the Superintendent

(the signature must be notarized) and the Chairman of the Board of Education (signature may be stamped). It is sent to this Division for use in making allotments.

Once the allotment of teachers has been made, then the individuals hired by the local administrative units to fill the positions are paid based on certificate level and salary rating. The task of setting up records and keeping them updated as to certificate level and salary rating for the large number of individuals whose salary must be verified and constantly monitored creates a sizable amount of work in the SDPI's Division of Certification, and the Divisions of Management Information Systems and Auditing and Accounting in the Controller's Office.

The allotment of teaching positions of LEA's tends to lock them into "self-contained, one teacher per specified number of pupils" type of organizations. Unless adequate local funds are available for instructional personnel, then flexibility to carry out teaching programs is greatly restricted.

An initial allotment of teaching positions rather than a lump-sum amount of funds for use at the discretion of the LEA's to employ teaching personnel of all types brings about an unequal distribution of funds among LEA's. In 1973-74, the average salaries of State-paid teachers among LEA's ranged from a low of $8,974 to a high of $10,518, a difference of 17%. Some factors attributing to differences in these average salaries are due to differences in hiring policies and practices (i.e. younger, newer educated vs. older, experienced), differences in turnover rates, local supplements, size of unit, urbanness, number of local paid

teachers, etc.

If an LEA employs local-paid teachers in addition to its State-paid teachers it is only logical that the individuals with the highest certificate levels and salary ratings are assigned to the State-allotted positions. The allotment of teaching positions also means that should an oversupply of qualified teachers exist it could cost the State more than when there is an undersupply, which is contrary to normal economics.

The class-size bill (G.S. 115-59.1, see below), which the General Assembly passed in 1973 had the effect of creating approximately 2,079 additional State-allotted teaching positions at a cost of $26 million. These funds might probably have accomplished more in equalizing the educational opportunities of students statewide had the funds been allocated among LEA's whose "ability to pay" ranks very low and consequently had very little in the way of local funds for use in the instructional services area. Also, having the discretion to use the funds for such purposes as hiring teaching aides rather than filling allotted teaching positions might have made the appropriation more productive educationally. Pertinent Statute: Upon receipt of the allotments, local boards of education shall organize schools and assign teachers to achieve the following class size maximums:

(1) No more than 26 students per teacher in average daily membership for grades one through three.

(2) No more than 33 students per teacher in average daily membership for the upper elementary grades.

(3) No more than 35 students per class except as permitted by local boards of education and no more than 150

students per day in average daily membership for teachers in high schools and junior high schools except as permitted by regional accrediting agencies (G.S. 115-59.1).

APPENDIX C

PLANNING AND MANAGEMENT: ITS DEFINITION AND HISTORY

Top leadership in SDPI unanimously identified the new planning and management process as the most significant recent development in North Carolina education. We now describe what it is and how it came about.

As implemented by SDPI, planning is based on a practical concept of the fundamental purpose of any educational organization. An idealistic concept of the school's function is to help the child develop to his full potential. To accomplish this worthy goal, the schools provide learning opportunities. It is difficult enough to determine a child's present level of development, but it is impossible to forecast what his full potential is. Since progress toward that goal couldn't be measured, schools did the next best thing--they assessed the learning opportunities offered. The hope was that better physical facilities, more instructional materials, and better trained teachers (all of which could be measured) would lead to more development of student potential.

The new concept is less idealistic and more practical. Now, the goal is to prepare students either to continue their education or to go to work. This goal is attainable <u>if</u> the students have the necessary and sufficient skills, knowledge, attitudes and habits. Planning, then, consists of defining these specific behavioral objectives for students and establishing methods of measuring their accomplishment. Management consists of organizing and using the schools' resources to accomplish these objectives. In brief, the basis for measuring progress is

shifting from resources (facilities, materials, teachers, etc.) to children's learning.

One origin of planning is found in the 1968 Governor's Study Commission report which stated that SDPI should "provide direction and guidance in the establishment of educational goals for the State." Another origin was a federal Office of Education grant for the American Management Association to help SDPI improve its management capabilities. Out of this work came the statement on goals shown in Appendix E and the organization of the Division of Planning.

In the Fall of 1971, SDPI initiated planning in five local school systems as a pilot study. This effort had hardly started when it was expanded greatly with another federal grant. American Management Association was contracted to hold management briefings to further the understanding of the management process. Six SDPI consultants were trained by A.M.A. and worked with eighty-eight local educational agencies in planning and management. This process involved the selection of a management team of twelve to twenty people by the Superintendent, an orientation session for them, preparation of a situation analysis by the management team, a three-day workshop to develop a mission statement, continuing objectives and review of the situation analysis, and follow-up visits to help implement the Planning Process. Of the original eighty-eight, fifty-four school systems are still actively involved. From an initial voluntary effort, planning is now mandated <u>if</u> a school system desires State accreditation. Five school systems are now accredited based on

their planning efforts.

APPENDIX D

HOW CURRICULUM DEVELOPMENT OCCURS

Often the impetus for new curriculum development occurs at the State level, although it may arise in other ways. Mathematics and science provide two examples of the latter, although they involve portions rather than comprehensive revisions of the curriculum. Teachers' desire for consumer mathematics led to the production of resource materials which have been popularly received and implemented in many schools in recent years. The national change toward the metric system is resulting in the initiation of new curriculum developments to meet this demand. In the area of reading, high interest on the part of many groups on the local, State and national levels has increased the awareness of and contributed significantly to the improvement of reading and reading materials. Members of the General Assembly, teachers' associations, other professional associations, such as NCAE and International Reading Association, Jaycees and representatives of industry on the local, State and national levels have participated in this movement. Developments in other states, impetus from the Office of Education, the National Science Foundation and other federal agencies, have also had an impact on the curriculum.

Although the procedure may vary from subject area to subject area, depending on the content and circumstances, the common pattern of a new curriculum development may look like this:

1. The idea: a need is identified. The initiative

may come from either the local or State level.

2. Study by a task force or advisory group is conducted.

3. Draft of curriculum proposal is written. This may be by teachers, with compensation, selected for this purpose, by SDPI curriculum consultants or representatives from an advisory group. Depending on the scope of the project, outside consultants may be selected to write the proposal.

4. Review of the proposal by groups of teachers, supervisors, principals and other local educational staff widely representative of the State.

5. Revision of the original proposal, based on input from the LEA's and, possibly professional groups, if appropriate.

6. Approval by the SBE, if appropriate or required.

7. Publishing and disseminating the approved curriculum change to the LEA's, followed by workshops to introduce the final product to those who will be using it.

In practice, curriculum development may either follow closely or deviate widely from this outline. The following two examples are illustrative.

EXAMPLE A. The process by which the Social Studies curriculum was revised will illustrate the complexity and broad involvement which characterizes comprehensive curriculum planning:

(1) In 1967 the Social Studies Division staff drafted a social

studies curriculum outline, grades K-12, based upon several years research into programs in other states and national social studies projects.

(2) In January 1968 a 15-member advisory committee, formed by the State Superintendent and broadly representative of all education levels, was appointed to provide critical review of the draft and revisions were made.

(3) After review by the State Superintendent, the curriculum proposal was presented to over 800 educators, including teachers, principals, supervisors, and superintendents or their representatives in the State in 11 separate area meetings in the Spring of 1968. Their written critiques were invited, along with others from college and university academicians and social studies specialists.

(4) Using the written comments, numerous revisions took place, with assistance from in-state and out-of-state consultants, prior to completion of the document in May 1970.

(5) The SBE approved the curriculum outline entitled "Summary of Social Studies Programs K-12" on May 7, 1970.

(6) Broad distribution of the outline to all LEA's and its use in developing and implementing a social studies curriculum in the public school then occurred.

(7) Since 1970, the Division of Social Studies has revised the curriculum to include a more detailed framework, rationale, and methodologies.

(8) A completed document entitled "The N. C. Social Studies Curriculum-A Focus on People, Culture and Change," Fall 1974, is

being printed and will be distributed shortly.

EXAMPLE B. An example of career education at the K-6 elementary level will illustrate a more erratic course of curriculum development, including a lack of oversight and evaluation of pilot programs.

1. A task force of 25 members of the SDPI was charged by the State Superintendent and the SBE to develop a State plan for career education. The report was considered by the SBE on April 5, 1973, and the following resolutions were adopted:

   (a) "That the SBE accept and approve the Report of the Task Force as a description of a concept which promotes comprehensive education" and

   (b) "That the SBE adopt the policy statement on career education as presented: and that the Department of Public Instruction is requested to continue its study of career education in the light of this response to the Task Force Report and shall continue to advise the Board of its progress."

The Task Force Report refers to programs at the K-6 level as Awareness programs, and states that 18 schools have received State funds to develop a career awareness program at the elementary level; eight of these schools also have received federal funds to develop an awareness program at the elementary level.

2. The State Plan for Occupational Education, FY 1974, adopted by the SBE on June 28, 1973, described the rationale for the Awareness program at the kindergarten-grade 6 level as follows:

"The ability to read with understanding, as well as to write and speak with precision, and the ability to compute with accuracy and comprehension are the most essential skills and insights which education can develop in any student. Such abilities are essential for further learning including learning to make a living. Therefore, at the elementary school level priority shall be given to the development of these abilities and any teaching and learning activities related to practical occupational goals shall be supplemental to the primary emphasis of acquiring basic learning skills."

3. The SBE received an evaluation of "Occupational Education Model for Primary Grades", Fall 1973; no action was requested or taken.

4. The 18 Awareness pilot programs were initiated by the LEA's with the Division of Occupational Education, Exploration Section, assigned responsibility for coordination.

5. No curriculum outline or description has been developed nor have curriculum guides or teaching materials been developed by the SDPI. Instead, it was explained that LEA's developed their own programs based on local needs and visits to model programs in other states identified by the State staff.

6. In July 1974, the SBE limited the use of 1974-75 State funds for occupational education in the K-6 grades to 15 percent of occupational expansion funds, placing a priority upon implementing occupational programs in grades 7-12.

7. Again, in July 1974, the SBE adopted the State Plan for Occupational Education, FY 1975, which included no reference to

programs at the K-6 level.

8. As of December 1974, although efforts were made to document the department's evaluation of the 18 State-funded awareness programs, none was found. Instead, the responses of various staff members showed that confusion and misunderstanding of responsibilities for Awareness programs exist.

Briefly,

---one top-level administrator suggested that an evaluation of the 18 experimental programs was written and shared with the Board, with no action being required or requested.

---the Occupational Research unit director remembered discussing the possibility of evaluating the 18 K-6 programs but was not aware of any decision on the matter.

---Three Occupational Education staff members knew of no evaluation report, and referred the inquiry to other staff persons for answers.

---the State Director confirmed that no evaluation was conducted or reported to the SBE.

9. Implementation of Awareness programs has proceeded on a limited basis, as follows:

---In July 1974 the SDPI issued two announcements to LEA's concerning curriculum plans for grades 4-6:

a. A curriculum television series entitled "Bread and Butterflies" would be aired beginning in October 1974. The series, a project in career development for nine-to-twelve year olds, was developed through

the resources of a consortium of 34 educational and broadcasting agencies, including the SDPI.

b. Two SDPI-sponsored workshops designed for LEA personnel interested in the "Bread and Butterflies" series, were scheduled for October and November 1974, both to follow the airing of the first television segment in the series.

---In late November, the Division of Occupational Education provided figures on preliminary State allocations for occupational Awareness programs in 18 LEA's for 1974-75. (At some point, the term changed from "career" to "occupational" awareness.) Interviews with several staff members, including those who were reported to be consultants to the Awareness programs revealed no knowledge of the evaluations of the 18 pilot programs nor of the newly funded programs.

10. Thus a limited number of occupational awareness programs in grades K-6 are being funded in 1974-75 without the benefit of minimal SDPI leadership in (a) curriculum design, guides or resource materials; (b) staff direction and coordination, or (c) program evaluations.

APPENDIX E

MISSION STATEMENT AND CONTINUING OBJECTIVES

MISSION STATEMENT OF THE NORTH CAROLINA STATE EDUCATION AGENCY

The mission of the North Carolina State Education Agency is to insure through informed and effective leadership at the State and local levels those learning experiences which are compatible with individual needs, interests, and capabilities and which will lead to continued education and/or employment for all elementary and secondary students in North Carolina.

--Adopted April 12, 1971
by the Executive Staff

--Amended October 29, 1973
by the Executive Staff

CONTINUING OBJECTIVES OF THE NORTH CAROLINA EDUCATION AGENCY

A. Consistent with a realistic appraisal of their needs, interests, and abilities, all students in the State of North Carolina leaving the elementary-secondary schools will:

1. Be qualified to either continue formal education or become employed

2. Demonstrate competencies in the arts sufficient to enable the student to make wise value judgements and to make creative use of his artistic talents

3. Demonstrate the skills, knowledge, attitudes and habits necessary to develop sound mental and physical health

4. Demonstrate the skills, knowledge, attitudes and habits necessary for effective and responsible citizenship

5. Demonstrate the skills, knowledge, attitudes and habits necessary to develop constructive human relationships

6. Demonstrate scientific literacy

7. Demonstrate communication and computational skills

8. Demonstrate the skills, knowledge, attitudes and habits necessary to make decisions

9. Demonstrate an appreciation for and a belief in learning

B. The resources and services necessary to achieve the mission and the above objectives will be provided by the North Carolina State Education Agency, in cooperation with local education agencies and the U. S. Office of Education.

--Adopted May 3, 1971
by the Executive Staff

--Amended October 29, 1973
by the Executive Staff

APPENDIX F

"WHO DOES WHAT?" IN SDPI AND THE CONTROLLER'S OFFICE

ADMINISTRATIVE SERVICES AREA

Purpose

To develop and direct educational leadership and management programs in the State education agency and in local education agencies, with the goal of strengthening the caliber of educational administration and management at both State and local levels.

Division of Planning

- Assists State and local school personnel in implementing comprehensive educational planning
- Provides consultant services to local school units
- Conducts training sessions for educational planning
- Provides follow-up services once planning is implemented

Division of School Food Services

- Consists of five regional offices in Albemarle, Canton, Grifton, Jacksonville, and North Wilkesboro
- Administers federal child nutrition programs including lunch, breakfast, special milk and special food services program for children, and special summer feeding program for children
- Coordinates the School Food Service Recognition Plan

Division of School Planning

- Conducts surveys of school systems in areas of organization, facilities, and finance
- Provides consultant services in areas of site selection, educational specifications, classifying facilities, and short-, medium-, and long-range school plans of organization and expenditure of funds
- Provides architectural, engineering, and inspection services

Regional Education Centers

- -- Acts as liaison among State education agency, local education agencies, and general public
- -- Interprets State Board policies, programs, and services to local units served
- -- Assists in developing and implementing educational programs
- -- Assists in interpreting local unit needs to the State education agency

Veterans Education

- -- Coordinates the State's veterans education programs

FEDERAL-STATE RELATIONS AREA

Purpose

To coordinate existing federal programs and to secure new funds which will help solve educational problems in North Carolina; to administer adopted rules and regulations governing interscholastic athletics in the public schools; and to coordinate the medical services available to participants in public school sports activities.

Division of Federal Programs

- -- Administers ESEA, Title V and NDEA, Title III
- -- Coordinates the Department's relationships with private foundations
- -- Coordinates submission of federal projects and State plans through the Office of Intergovernmental Relations
- -- Collects and provides information to N. C. Congressional Delegation U. S. Office of Education, National Institute for Education, local school systems, and other groups for benefit of students

Division of School Athletics

- -- Assists school units in providing a proper balance between academics and interscholastics
- -- Helps local units formulate clear policies, rules, and regulations pertaining to athletics that do not conflict with those prescribed by SBE

-- Provides information concerning standards of eligibility for participation in athletic programs
-- Assists in planning and directing clinics for coaches, conference officials, and game officials

Division of Sports Medicine

-- Works toward developing a medical delivery system within local communities that will facilitate the prevention, treatment, and rehabilitation of sports-related injuries
-- Works toward the reduction in the rate of injuries and total prevention of deaths related to sports participation

HUMAN RELATIONS AND STUDENT AFFAIRS AREA

Purpose

To eliminate problems to the desegregation-integration process; and to eliminate barriers to optimum development of social, physical, and emotional well-being of students.

Division of Human Relations and Student Affairs

-- Assists teachers, students, administrators, and the community in developing more effective interpersonal relationships for operating within the desegregated school system
-- Assists schools and community in developing communications skills
-- Assists teachers in developing counseling to improve classroom communications
-- Helps teachers solve curriculum problems created by desegregation
-- Provides consultant help in planning activities for human relations councils, student councils, advisory committees, clubs, and other student groups
-- Helps students develop leadership skills
-- Assists in improving building and classroom discipline
-- Assists administrators in developing techniques for preventing and dealing with school disruptions
-- Provides technical assistance in obtaining federal funds designed to help solve problems related to desegregation
-- Assists in improving school-community involvement

Division of Pupil Personnel Services

-- Provides consulting services in the areas of guidance and counseling, psychological, health, and social services

- -- Assists local school units in working with parents, community agencies, students, teachers, and administrators
- -- Conducts conferences to increase awareness of the need for supportive services in local school systems
- -- Coordinates communication among Departments of Social Services, Public Health, Mental Health, Administration, Youth Development, and councils relating to those departments to facilitate interagency functioning
- -- Assists in curriculum revision and development
- -- Assists in collecting and interpreting data pertinent to individual children and groups of students

PERSONNEL RELATIONS AND PUBLIC AFFAIRS AREA

Purpose

To develop a knowledgeable, responsive, and supportive public; to develop and maintain a workable two-way communication system within the Department of Public Instruction and with the many publics of public education; to provide accurate information to members of the General Assembly; to motivate and assist local education agencies to improve their instructional programs; to assist in the development of acceptable personnel policies and practices in each local school system consistent with State policy; and to work with citizen and professional groups to gain cooperation between citizens and their schools.

Division of Personnel Relations

- -- Assists local units in developing and implementing personnel management programs
- -- Provides consultant services in staff integration, personnel negotiations, writing personnel policies and procedures, and improving working conditions
- -- Interprets federal and State laws pertaining to personnel management such as Fair Employment and Dismissal Act, Fair Labor Standards Act, and Term and Pay of Public School Employees
- -- Acts as a liaison for local unit personnel activities to the General Assembly

Division of Public Affairs

- -- Helps local school units improve cooperation between citizens and their schools
- -- Conducts workshops concerning civic, social, and professional group involvement with schools
- -- Coordinates activities of PTA, citizen advisory councils, booster clubs, industry-education-labor councils, etc., with public education

Division of Public Information and Publications

- -- Coordinates public relations training for educators in local school units
- -- Provides regular releases, phone reports, etc., to news media concerning public education in North Carolina
- -- Gathers information as requested by news media, school units, legislators, public, and State agency personnel
- -- Provides publication services for State agency in the areas of editing, design, bids, production, and distribution of forms, curriculum materials, and other educational materials to local school units and other publics
- -- Relates information concerning education to educators and citizens through newsletters, quarterly magazine, and other publications
- -- Provides accurate information to members of the General Assembly and keeps the Department and local school units informed on status of current State legislation

RESEARCH AND DEVELOPMENT AREA

Purpose

To discover new and better ways to teach children and youth; to manage the elementary and secondary schools in the State; and to evaluate the effectiveness of existing and new programs.

Division of Research

- -- Conducts research to improve the State's educational programs
- -- Administers research grants in occupational education
- -- Conducts annual assessment of educational progress in North Carolina's public schools
- -- Provides assistance to local school systems in developing testing and evaluation programs
- -- Develops measuring instruments, evaluation designs, and reports which indicate the effectiveness of major educational programs

Division of Development

- -- Establishes guidelines and procedures for implementing new instructional and administrative programs in the public schools
- -- Supervises development programs at State and local levels
- -- Administers ESEA Title III programs and the State Experimentation in Educational Development (SEED) program
- -- Disseminates information about innovative programs which have been evaluated

PROGRAM SERVICES AREA

Purpose

To give leadership to the instructional program in the State's public schools; to assist teachers and staff working in the K-12 educational program; to furnish leadership in the development of curriculum and new materials; and to introduce new teaching techniques.

Division for Exceptional Children

- -- Assists local school systems in developing comprehensive programs and services to all exceptional children
- -- Provides consultant help for the following types of children: educable mentally retarded, trainable mentally retarded, gifted and talented, speech impaired, hearing impaired, crippled, visually impaired, emotionally disturbed, learning disabled, pregnant school girls, multiple-handicapped, and children that require homebound or hospitalized services
- -- Provides technical assistance in planning, program development, program evaluation, staff development, and effective use of media and materials for exceptional children
- -- Coordinates the activities of the Instructional Materials Center Network
- -- Administers ESEA Title VI of the Education of the Handicapped Act

Division of Compensatory Education

- -- Assists local school units in planning, implementing, and evaluating special educational activities which

compensate for social, economic, and educational handicaps suffered by children
- -- Administers ESEA Title I and Migrant Education programs
- -- Coordinates Follow-Through program
- -- Works with local program planners and administrators on needs assessment, priority setting, program planning, evaluation, dissemination, and parental involvement
- -- Assists in development of compensatory activities by other State agency divisions
- -- Provides technical assistance to local compensatory education programs and coordinates the delivery of such assistance by other divisions

Division of Cultural Arts

- -- Develops educational programs in the areas of music, theater, dance, and visual arts for grades K-12 and teacher training institutions
- -- Coordinates activities of civic and cultural organizations as they relate to public schools in the area of the arts
- -- Coordinates yearly projects including Poetry in the Schools, Volunteers in the Arts, Student Audiences, Heritage Week, and Performing Arts Tours

Division of Educational Media

- -- Assists State and local school personnel in developing a comprehensive media program
- -- Evaluates local school unit facilities for use of audio-visual equipment and course activities
- -- Assists schools in purchasing audio-visual equipment, ordering film series, and taped textbook supplements
- -- Assists State agency personnel with production of tapes, slides, and transparencies for special presentations
- -- Assists agency personnel in developing educational television programs in math, science, literature, history, problem-solving, music, and art
- -- Conducts workshops for use of educational television programs
- -- Publishes teaching guides to supplement television programs
- -- Leases series from national instructional television services

Division of Health, Safety, and Physical Education

- -- Assists local school units in developing sound, comprehensive physical education programs for grades K-12
- -- Assists in planning staff development programs and the promotion and coordination of physical education demonstration centers

-- Provides consultant services in the areas of school facilities, equipment, and supplies

Division of Kindergarten-Early Childhood Education

-- Assists local school units in developing and implementing educational programs for children ages five through eight
-- Conducts staff development training in screening, diagnosing, and correcting deficiencies and handicaps that prohibit normal growth and development
-- Works with teacher training institutions to prepare programs in kindergarten-early childhood education
-- Works with early childhood education coordinators located in the eight Educational Districts

Division of Languages

-- Assists local school units in developing and implementing English/language arts and foreign language programs
-- Provides help in planning for accreditation, staff development programs, and needs assessment studies
-- Assists local units in improving existing classroom practices and implementing new classroom procedures

Division of Mathematics

-- Assists local units in staff development and curriculum improvement in mathematics grades K-12
-- Advises local units concerning new approaches and significant research in mathematics
-- Assists in the assessment of pupil performance in mathematics

Division of Occupational Education

-- Administers, supervises, and evaluates occupational programs in the State
-- Provides consulting services to local units in the areas of agriculture, distributive education, health occupations, business and office, trades and industries, occupational exploration, home economics, cooperative education, special projects for the disadvantaged and handicapped, youth organizations, and advisory councils
-- Coordinates long-range planning of occupational education and provides leadership in the development of local plans for occupational education
-- Assists local units in assessing the quality of programs

- -- Provides occupational information requested by State and federal governments, State Advisory Council on Vocational Education, various trade associations, and lay citizens
- -- Coordinates activities of Area Directors of occupational education in each of the eight Educational Districts
- -- Assists in the development of occupational guidance counseling and on-the-job training programs

Division of Reading

- -- Coordinates all State and federal efforts in area of reading
- -- Assists local units in assessment, comprehensive planning, and staff development
- -- Conducts workshops, conferences, and demonstration teaching for local units, and disseminates information about reading programs
- -- Acts as a liaison with federal government regarding funding for reading programs
- -- Represents the State in national reading organizations and programs

Division of Science

- -- Assists local units in updating curriculum, devising and implementing new teaching techniques, and structuring science programs for grades K-12
- -- Emphasizes improving instruction in the areas of elementary science, environmental education, and metrication
- -- Consults with teachers and administrators on projects and problems related to science education

Division of Social Studies

- -- Coordinates general program development in social studies for grades K-12
- -- Emphasizes improving instruction in economics, international, and law-focused education
- -- Assists local units in the assessment of social studies education
- -- Provides consultant services in planning in-service workshops and integrating special studies in each area of social studies curriculum

Non-Public Schools

-- Supervises non-public schools and coordinates their activities as they relate to the Department of Public Instruction

SPECIAL SERVICES AREA

Purpose

To insure that all professional personnel and other public school employees are qualified to serve effectively in the realization of the continuing objectives of the State education agency.

Division of Staff Development

-- Promotes comprehensive staff development of all personnel in public school education in the State
-- Coordinates State-level funds and services for staff development
-- Coordinates staff development of State agency personnel
-- Administers programs for the Professional Improvement of Teachers and Teacher Scholarship Loan
-- Approves in-service courses and workshops that do not carry college credit for credit toward certificate renewal
-- Provides consultant services to local units in planning staff development activities
-- Coordinates State approval of local comprehensive staff development programs
-- Serves as a liaison with institutions of higher education and other State and federal agencies in matters related to staff development

Division of Teacher Education

-- Provides leadership and coordination at State-level to 43 senior colleges and universities in the State in their efforts to prepare teachers and other professional school personnel
-- Evaluates and approves college and university teacher education programs
-- Coordinates field experiences for preservice teachers and other professional personnel
-- Fixes qualifications that professional school personnel should have as they enter the profession
-- Coordinates interstate reciprocity teacher education agreements

Division of Certification

-- Establishes and implements procedures for certification and re-certification of all professional personnel in

public schools and non-public schools serving school-aged children
- -- Provides leadership to all agencies involved in the professional preparation, certification, and re-certification of personnel
- -- Implements policies and procedures established by the State Board of Education relative to certification of professional personnel

CONTROLLER'S OFFICE

Purpose

To provide effective service and leadership in fiscal and other supportive functions of the State education agency; and to provide a wide range of services of consulting and control activities in support of the public school and community college systems in North Carolina.

Division of Agency Services

- -- Establishes and operates a full range of internal services for the Department of Public Education including purchasing, central services, and materials handling

Division of Auditing and Accounting

- -- Accounts for receipt and disbursement of all funds under the responsibility of the Department of Public Education
- -- Provides fiscal administration to the local school units and institutions under the Department of Community Colleges in budgeting, receipt and disbursement of funds, maintenance of records, and fiscal reporting
- -- Conducts in-service training program for business managers, accountants, and bookkeepers in local school units

Division of Insurance

- -- Provides fire, lightning, and extended coverage insurance for local school units and community colleges and technical institutes at their option

Division of Management Information Systems

- Develops and coordinates a comprehensive automated information system to support the Department of Public Education
- Collects and processes data from local school units and community colleges
- Produces yearly statistical publications to meet internal needs and to satisfy State and federal reporting requirements
- Stores other statistical data in an unpublished form which is available upon request
- Acts as a liaison with the National Center for Educational Statistics
- Provides on-site consulting services to school systems considering the purchase or lease of computer or accounting machine equipment

Division of Personnel

- Provides the Department of Public Education with a classification and pay program in keeping with local, State, and national salaries in order to secure and retain the leadership necessary to adequately staff the State Department of Public Education
- Provides management of the State Department with information on new laws, rules, regulations, policy changes, and results of court actions
- Provides consultant services in human resource management to the presidents of the community college institutions and superintendents of the local school administrative units
- Provides necessary budget projections to adequately fund the employees of the State Department, including salaries and State-supported fringe benefits, and maintains daily accounting records on all salary, wage, and fringe benefits budgets

Division of Plant Operation

- Assists local school units in maintaining efficient and economical operation of physical plants
- Provides consultant services to local school units on problems of operation and maintenance of school plants
- Budgets and allots funds for salaries of custodial personnel, fuel, water, electricity, janitorial supplies, and telephone rental in local school units
- Conducts training sessions for school maintenance and custodial personnel

Division of Teacher Allotment and General Control

- Makes projection studies and prepares recommendations to State Board of Education for allotment of personnel resources to local school units
- Audits attendance records of teachers and principals
- Projects the number of students who will be in school during successive years
- Allots general control items of the State School Fund Budget

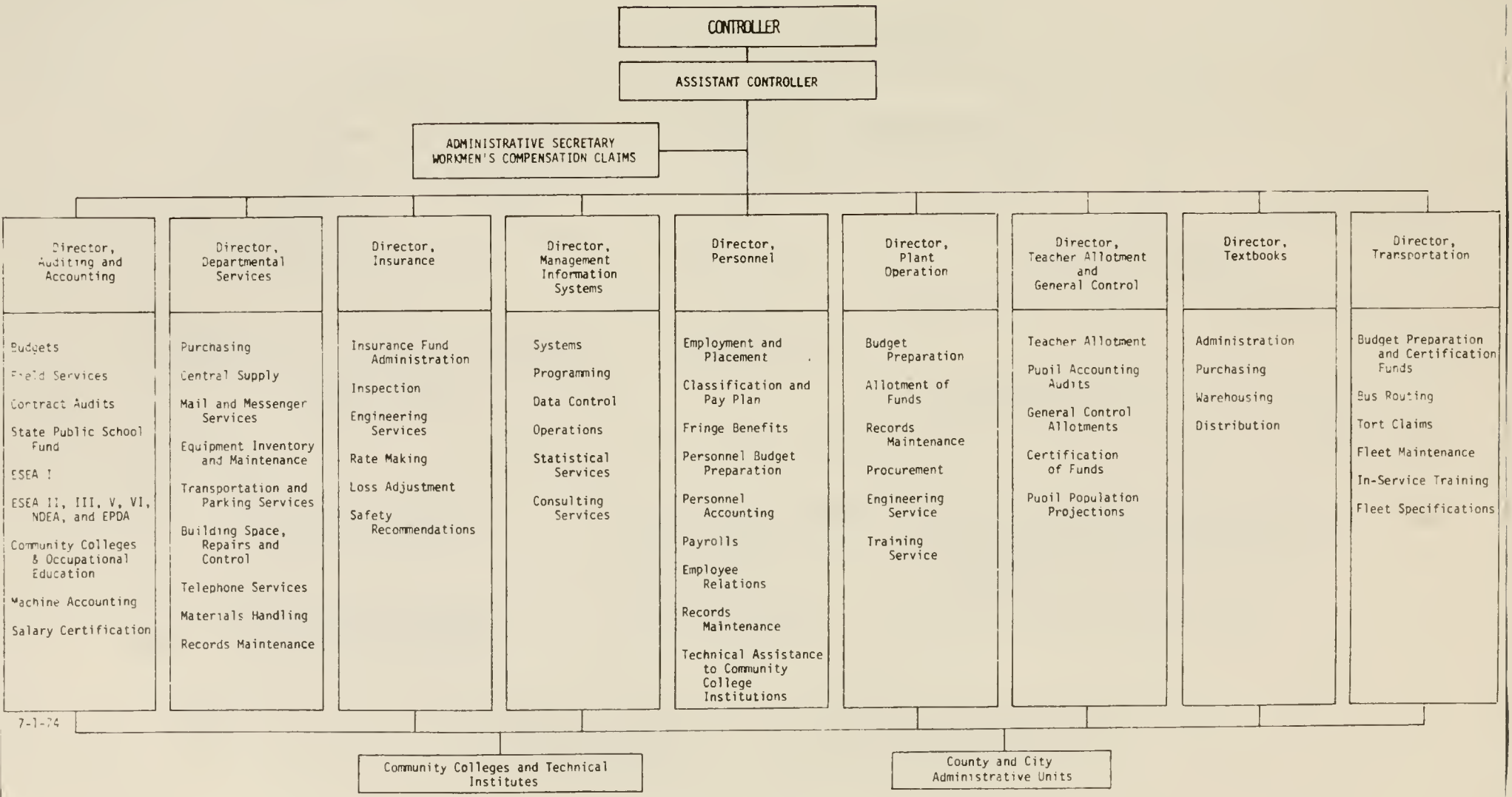
Division of Textbooks

- Administers the State's free textbook program for elementary and secondary schools
- Coordinates textbook adoptions with the Textbook Commission, Department of Public Instruction, and SBE

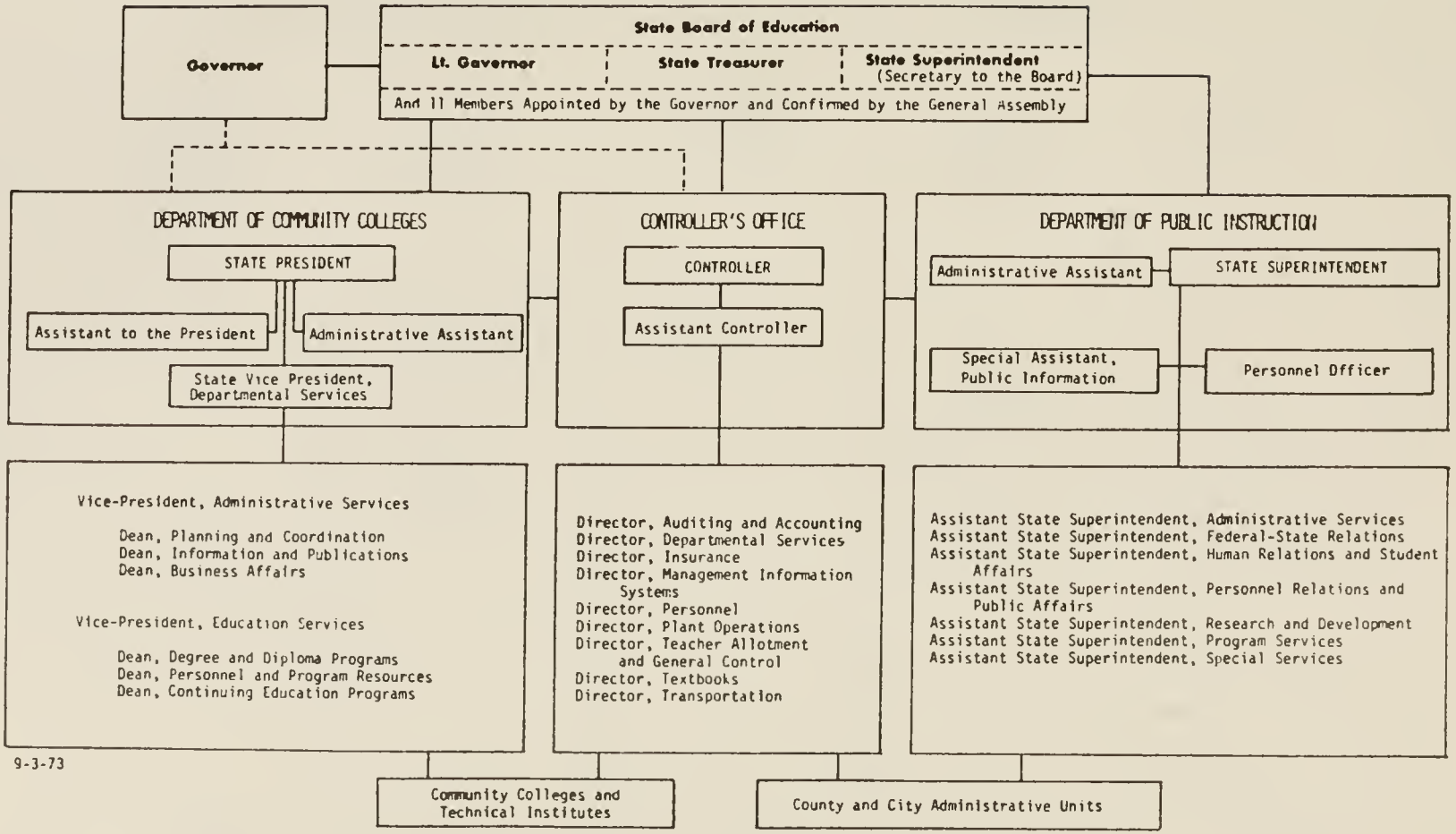
Division of Transportation

- Assists local school units in the transportation of pupils to and from school
- Prepares transportation budgets and fund allocations to local units
- Prepares bus specifications, procures, and disposes of buses and service vehicles and delivers buses to local units
- Assists local units with maintenance and operation of buses and determines which buses will be replaced
- Inspects used buses, receives, inspects, rejects or accepts new buses
- Assists local units with bus routes, schedules, and reorganization of transportation systems
- Processes closed tort claims for payment
- Works with Division of School Planning in determining new school sites
- Assists school units in collecting transportation data

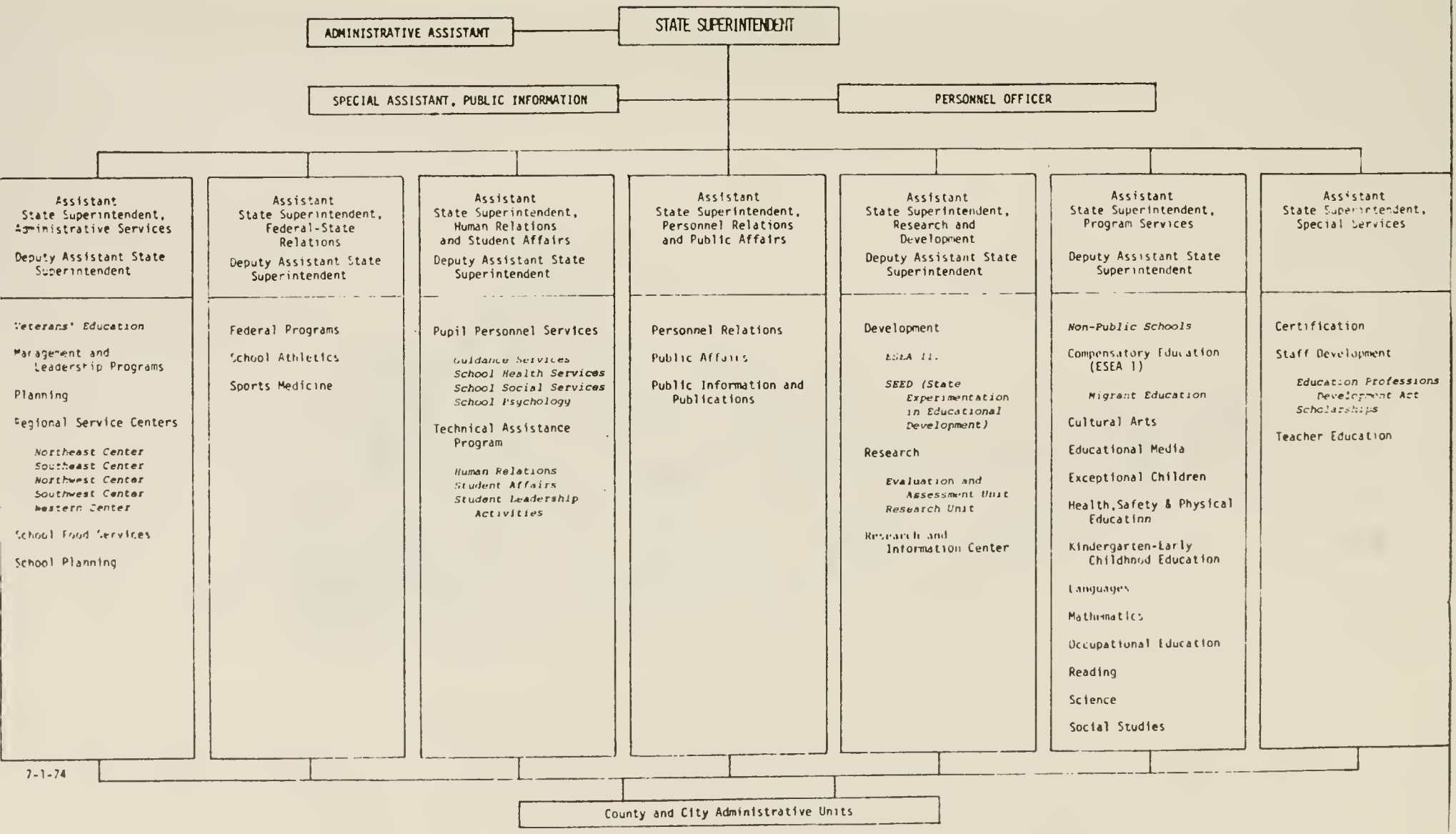
Controller's Office

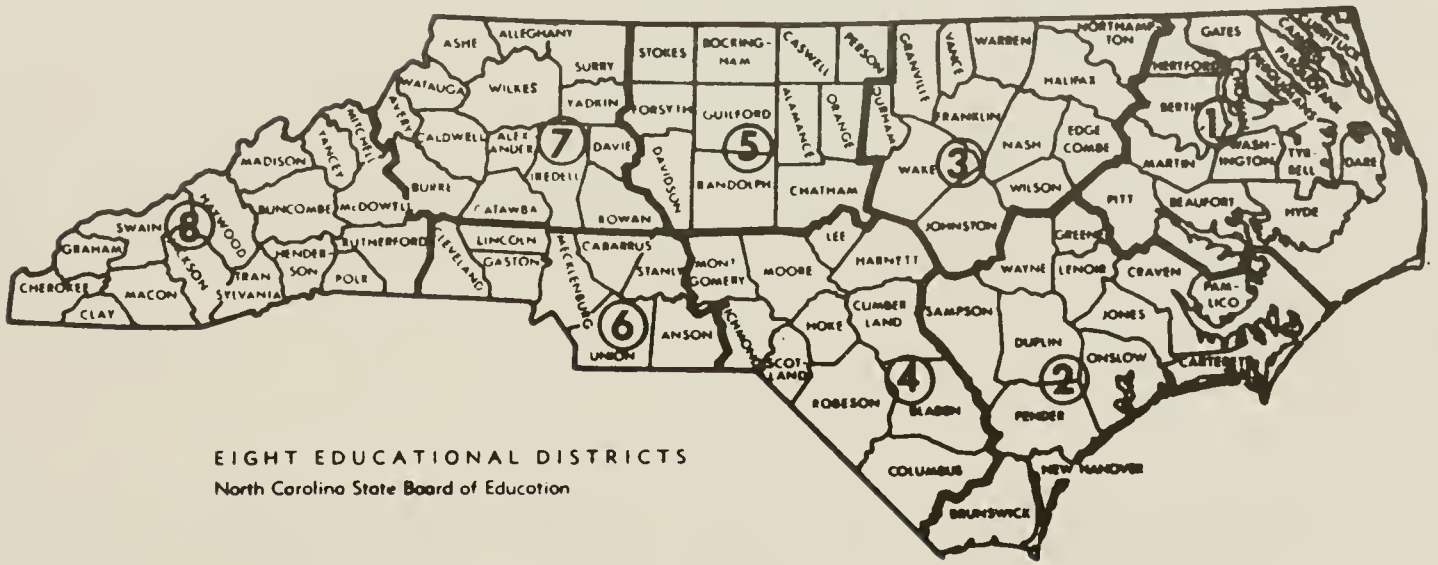


North Carolina Department of Public Education



Department of Public Instruction





EIGHT EDUCATIONAL DISTRICTS

North Carolina State Board of Education

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